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ABSTRACT

This hearing transcript presents oral and written statements made at a congressional hearing on the Higher Education Amendments of 1998, specifically Title III which supports programs to strengthen institutions and Title XI which encourages colleges and universities to provide urban community service programs. Opening statements by Congressmen Howard P. "Buck" McKeon and Carlos Romero-Barcelo provide an introduction. Statements delivered by the following individuals are then provided: Anne S. McNutt, President, Technical College of the Low Country (South Carolina); Roberto Marrero-Corletto, Chancellor, University of Puerto Rico at Humacao; Frederick S. Humphries, President, Florida A & M University; Thomas Cole, President, Clark Atlanta University (Georgia); Robert A. Corrigan, President, San Franciso State University (California); Charlie Nelms, Chancellor, University of Michigan-Flint; and Elizabeth Van Uum, Assistant to the Chancellor, University of Missouri at St. Louis. Also included are written statements by some of the above individuals and the following additional individuals: Norma Rees, President, California State University-Hayward and John I. Gilderbloom, Director, Urban Studies Institute, University of Louisville (Kentucky). (DB)

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ED 428 634

HEARING ON H.R. 6, THE HIGHER EDUCATION AMENDMENTS OF 1998 TITLE III AND URBAN AND COMMUNITY SERVICE PROGRAMS

HEARING

BEFORE THE

SUBCOMMITTEE ON POSTSECONDARY EDUCATION, TRAINING AND LIFE-LONG LEARNING

OF THE

COMMITTEE ON EDUCATION AND THE WORKFORCE

HOUSE OF REPRESENTATIVES

ONE HUNDRED FIFTH CONGRESS

FIRST SESSION

HEARING HELD IN WASHINGTON, DC, JUNE 26, 1997

Serial No. 105–67

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HEARING ON H.R. 6, THE HIGHER EDUCATION AMENDMENTS OF 1998
TITLE III AND URBAN AND COMMUNITY SERVICE PROGRAMS

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Thursday, June 26, 1997
House of Representatives
Subcommittee on Postsecondary Education, Training and Life-Long Learning
Committee on Education and the Workforce
Washington, D.C.

The subcommittee met, pursuant to call, at 9:30 a.m., in Room 2175, Rayburn House Office Building, Hon. Howard McKeon [chairman of the subcommittee] presiding.

Present: Chairman McKeon, Representatives Goodling, Petri, Barrett, Kildee, Roemer, Woolsey, Romero-Barcelo, Fattah, Hinojosa, and Ford.

Also Present: Representatives Clay and Boyd.

Staff Present: George Conant, Professional Staff Member; Sally Stroup, Professional Staff Member; Pamela Davidson, Legislative Assistant; David Evans, Legislative Associate; Marshall Grigsby, Legislative Associate; June Harris, Education Coordinator; and Margo Huber, Staff Assistant.

OPENING STATEMENT OF THE HON. HOWARD P. "BUCK" MCKEON, A REPRESENTATIVE IN CONGRESS FROM THE STATE OF CALIFORNIA

Chairman **McKeon**. Good morning. I'd like to welcome the witnesses who have agreed to appear before us here today. I'd like to extend a special welcome to a fellow Californian, Dr. Richard Corrigan, the President of San Francisco State University.

Today we will hold another in a series of several program specific hearings in Washington, D.C., to bring together experts from across the country to hear their views on the Higher Education Act.

Let me take a moment to describe how I see higher education in the future. I would hope that men and women, young and old, will have access to postsecondary education when they need it. Some would go to college for undergraduate or graduate degrees. Others would choose to go to school or go back to school for much shorter periods of time in order to improve or upgrade their skills for a better job and a better future.

Many could just take a class or two from home over the Internet, but I want to see every American who so chooses have the opportunity of receiving a quality education at an affordable price.

This subcommittee has jurisdiction over the Higher Education Act, and we have a great deal of work ahead of us. The Higher Education Act is scheduled for reauthorization during the 105th Congress, and in general terms, this means the committee will be making determinations as to the effectiveness of the existing programs, as well as the need for programmatic changes which address specific problem areas.

One of our primary focuses throughout the entire process is keeping college affordable for students and families.

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We have all heard the concerns of parents and students who are worried about increasing college costs. As a parent of six children, two of whom are currently enrolled in college and a few others that are paying off college loans, I am well aware of what it costs a family to pay the college bills. I am also committed to making college more affordable.

Our job this Congress is to improve on what is already working for students across the country, eliminate programs which are not working and do it all in a way that ensures that precious taxpayer dollars are spent wisely.

As we reauthorize the Higher Education Act, our goals will be : Making higher education more affordable; simplifying the student aid system; and stressing academic quality.

If we stay true to these principles, we can improve on what is already working for students and families across the country.

Today's hearing will focus on Title III of the Higher Education Act, which exists to strengthen the institutions of higher education, and Title IX of the Act which promotes community service activities on the part of institutions of higher education.

Title III, the Strengthening Institutions programs, provides the largest source of direct federal assistance administered by the Secretary of Education to institutions of higher education. These funds are used to enhance academic quality and to improve the institutional management and fiscal stability of schools with limited resources which serve economically needy students.

I understand that schools are doing a number of innovative things with these funds, and I look forward to hearing about them.

The Urban Community Service provisions of Title XI, which are the only funded provisions in that title, provide incentives to urban schools to enable them to work with private and civic organizations to find and implement solutions to problems within their communities.

Our witnesses all have hands-on experience with these programs. They have the responsibility for ensuring the smooth functioning of a college or university for the leaders of tomorrow or making certain that our students receive the financial help they need to pursue a postsecondary education. They are the true experts on higher education, and I look forward to hearing from them.

The ranking member of our committee today is held up in another meeting, but we're fortunate to have with us a former Governor, Representative from Puerto Rico, Carlos Romero-Barcelo. We'll turn the time to him now for an opening statement.

See Appendix A for the Written Statement of the Hon. Howard P. "Buck" McKeon

OPENING STATEMENT OF THE HON. CARLOS ROMERO-BARCELO, A REPRESENTATIVE IN CONGRESS FROM PUERTO RICO

Mr. **Romero-Barcelo**. Thank you. Mr. Chairman. I, first of all, would like to congratulate you for these hearings on the reauthorization of the Higher Education Act and for your emphasis on the programs which

have worked well in supporting the goals of the Act, including expanding postsecondary education opportunities for lower income individuals.

I believe it is critical that we enter into the 21st Century as a nation committed to two objectives in postsecondary education: First, making sure that the American Higher Education Act is second to none; and second, ensuring that no Americans will be denied the opportunity for a college education because they lack the financial wherewithal.

In previous hearings, we have focused on the student financial aid programs that bring a college education within the reach of needy and deserving students. Today we focus on two programs that are critical to making sure that our institutions of higher education are strong and vibrant.

Title III institutional aid programs help provide institutions the resources they need to offer their students a high quality education. Title XI, Urban Community Service Programs, bring the resources of an institution of higher education to bear upon the needs of the urban community of which they are part. The result is a better education and a stronger community.

The title also gives funds for the educational progress of different groups, which, particularly for Hispanics, from early childhood education through higher education, remains unacceptably poor compared to almost every other group in the nation.

In higher education this disparity in educational attainment is especially troublesome to me and should be for all of us. In order to contribute fully to the country's prosperity in the 21st Century, we must work during this reauthorization of the Higher Education Act to ensure that higher education becomes more accessible and affordable to all.

Hispanic Serving Institutions play a crucial role in addressing the disparity in academic achievement for Hispanics, and today we will have one of the witnesses who is a Chancellor of the University of Puerto Rico at Humacao. The University of Puerto Rico is the largest Hispanic Serving Institution in the nation, and in the past has not been coordinating their programs together with the nation, with the rest of the universities in the United States, but now the new President, Dr. Norman Maldonado, has changed that policy, and is bringing the university more into cooperating in exchange programs with different universities, and particularly other Hispanic serving institutions in the nation.

Dr. Marrero who is going to testify, is the Chancellor, as I said, of the University of Puerto Rico at Humacao, and prior to that he served as Director of Planning and Development of the University of Puerto Rico at Humacao during 1993 and 1994. He also served as a U.S. Army Senior Service College fellow at the Center for Strategic and International Studies here in Washington, D.C. and as Minority Access to Research Careers as faculty fellow at Vanderbilt School of Medicine in Nashville, Tennessee.

He currently serves as Program Director for the Office of Naval Research Science, Engineering and Mathematics Program. Dr. Marrero has dedicated most of his professional life to training and promoting talented young scientists and mathematicians at these institutions. We want to welcome Dr. Victor Marrero.

I also would like to welcome on behalf of my colleague and the ranking member Mr. Dale Kildee, someone who comes also from his hometown of Flint, Dr. Charlie Nelms who is the Chancellor of the University of Michigan, and Chancellor Nelms is widely and very deservedly recognized as an exceptionally talented leader in American higher education, and I particularly want to welcome him to our deliberations, and I'm sure that when Mr. Kildee comes here that he will do it himself.

Thank you all of you for being here with us.

Chairman McKeon. Thank you. If we could have the first panel take their place at the table: Dr. McNutt, Mr. Marrero Corletto, Dr. Humphries, and Dr. Cole, please.

We have asked each of you to submit written testimony, which we have, and it will be placed in the record. We would like you to use your time, you have five minutes each, to summarize your written statements. The green light will come on when you have a minute left. The yellow light comes on, and when your time is up, the red light comes on. We'd like you to use the time to inform us as much as you can in what you think we should know, and we again appreciate your being here. We will now turn the time to Dr. McNutt.

STATEMENT OF DR. ANNE S. MCNUTT, PRESIDENT, TECHNICAL COLLEGE OF THE LOWCOUNTRY, BEAUMONT, SOUTH CAROLINA

Ms. **McNutt.** Good morning, Chairman McKeon, members of the subcommittee. I'm Anne McNutt, President of the Technical College of the Lowcountry (TCL) in Beaufort, South Carolina. I am representing the views of my institution and the American Association of Community Colleges (AACC) an organization of 1,064 associate degree granting, regionally accredited, public and private institutions.

The Technical College of the Lowcountry is one of 16 comprehensive community colleges comprising the South Carolina technical college system. TCL serves a 2,900 square mile, four county, rural coastal area on the southeastern corner of South Carolina, and traces its origins to the Mather School established in 1868 to educate the daughters of freed slaves.

I am pleased this morning to present testimony on Title III-Part A of the Higher Education Act (HEA). This program is small relative to the overall funding for the HEA, but represents a success story which should be told more often. I commend the subcommittee for focusing on this critically important program.

Title III-Part A is designed to complement the investment the federal government makes in providing access to college for needy students by enhancing quality at institutions that have relatively few resources and serve high percentages of financially disadvantaged students.

Across the country, Title III-Part A makes a small, relatively short term investment with long term benefits in the quality of education. By concentrating resources on selected program areas of the colleges, Title III-Part A transforms key aspects of institutions.

Development grants average $340,000 per year for five years, with institutions reporting annually to the Department of Education on progress of their grant. A guiding feature of the Strengthening Institutions program is that it allows an institution to identify its greatest needs consistent with the purposes of the program, and then structure its application accordingly.

Although the program is driven from the local level, the federal government retains a strong measure of accountability, since funds must be spent for the specific purposes identified in the application. The Strengthening Institutions program has been structured on a competitive model, ensuring that recipients will be highly deserving of funds.

For the last competition, 478 eligible institutions submitted applications, and only 37 grants or 7.7 percent were awarded. To compete, colleges analyze their strengths and weaknesses and submit a detailed, five-year, comprehensive development plan describing how the grant funds will be used to achieve measurable objectives which maximize institutional effectiveness.

Requested funds must be shown to have a long term benefit for the college and help students increase access and success for under-represented students. Recipients initiate new activities to enhance the long term quality and viability of the institution.

TCL's Title III-Part A grant is assisting the college to become more viable. With this grant, the college has strengthened academic programs by equipping an interactive, multi-media classroom and a companion multi-media faculty development laboratory, providing training for use of this equipment, and developing and offering a new program in computer maintenance and technology.

TCL has developed a student information advisement center to link student needs with appropriate support services, and the college has strengthened institutional management and implemented a local area network, and then provided related training to use this network for the faculty and staff.

Other community colleges receiving grants include Napa Valley College in Napa, California, North Shore Community College in Danvers, Massachusetts, Camden County College in Blackwood, New Jersey, the Community College of Philadelphia in Philadelphia, Pennsylvania, and Dyersburg State Community College in Dyersburg, Tennessee.

My written testimony contains more information on these grants, and I trust that these comments provide the subcommittee with information about why the program is highly valued by community colleges and the students they serve.

I also included with my written testimony AACC's recommendations for Title III-Part A reauthorization. Now I will simply state that Title III-Part A is working extremely well, and that you will perform a great service for American higher education and its students by reauthorizing Title III-Part A.

Thank you for your consideration of my comments, and I would be pleased to answer any questions the committee may have.

See Appendix B for the Written Statement of Dr. Anne McNutt

Chairman **McKeon**. Thank you very much. Mr. Marrero.

STATEMENT OF MR. ROBERTO MARRERO CORLETTO, CHANCELLOR, UNIVERSITY OF PUERTO RICO AT HUMACAO, HUMACAO, PUERTO RICO

Mr. **Marrero**. Good morning, Mr. Chairman and distinguished members of the subcommittee. I am Roberto Marrero, Chancellor of the University of Puerto Rico at Humacao, and I'm here today to present testimony on behalf of Dr. Norman Maldonado, the President of the University of Puerto Rico, on Title III and other matters related to the proposed amendments to the reauthorization of Higher Education Act of 1965.

The University of Puerto Rico, founded in 1903 as a teacher's college and which later became a land grant institution, is the state university of Puerto Rico, and it is the largest minority institution of higher education in the United States. It is also one of the largest multi-campus systems in the country, with over 68,000 students which account for six percent of the nation's Hispanics enrolled in institutions of higher education.

The University of Puerto Rico (UPR) is the leading baccalaureate institution of Hispanics who go on to earn Ph.D.s throughout the United States. We are truly honored to have an opportunity to share our experiences and recommendations with you regarding Title III.

Turning specifically to Title III, as a result of the funding the University of Puerto Rico has received under this program, the University has implemented institution-wide activities that affect all constituencies, including students, faculty, administrators, and support staff.

Five of the university's 11 campuses receive Title III funding. At my campus, the Humacao campus of the University of Puerto Rico, Title III funds have been instrumental in the establishment of many of the college's academic and administrative programs, including the Grants Office, Career Center, academic honors program, the assessment program, and the audio-visual production center.

Clearly, these programs would not have been established, had Title III not provided the seed funds, but with such assistance the college has been able to increase its grant funds from approximately half a million per year in the early eighties to $2 million a year in the nineties. Title III funding has provided career orientation, referral and placement services to the entire student population, enrich the curriculum for gifted students, establish a computer laboratory for faculty and liberal arts students, establish computerized follow-up systems for at-risk students, develop classroom and departmental assessment projects, and enrich the presentation of academic content through campus-made audio-visual materials.

Similar innovations are underway at other campuses that receive Title III funding. Examples of these efforts are outlined in our written testimony.

Now I would like to share our reauthorization recommendations with you. The University of Puerto Rico recommends that a minimum of $100 million in increased funding be provided above the President's current request for Title III. Such an increase would more effectively address the needs of Hispanic Serving Institutions (HSI) and the other Part A and Part B institutions served under Title III.

Therefore, as a general proposal, we support a general increase for Title III across the board. In recommending this increase, we also recognize that the Hispanic community has a unique set of issues and challenges related to emerging demographics, language, culture and poverty.

In this regard, the University of Puerto Rico supports the recommendations and proposed legislative amendments of the Hispanic Educational Coalition to the U.S. Hispanic Congressional Caucus calling for greater flexibility in the definition of HSIs and for a new Title III section to support HSIs with graduate and professional programs and a proven record of enrolling Hispanics.

Specifically, we ask the Committee to repeal the requirement that an additional 25 percent of the Hispanic students enrolled be either low income and first generation college students; repeal the requirement that 50 percent of the Hispanic students enrolled be first generation college students; repeal the requirement that funding for Title III-Part A, grants be greater than $80 million before any funds are provided to HSI grants; designate HSI programs as Part C of Title III, and create a new grants program under the revised Part C of Title III to provide awards to HSIs with graduate and professional programs for activities to expand and improve graduate and professional opportunities for Hispanic Americans and other students under-represented in graduate education.

Of the $100 million increase referenced previously, $20 million would be authorized to be appropriated annually for this program.

In addition to the recommendations offered on behalf of Title III, we also endorse the establishment of the Frank Tejeda Scholarship Program that will be sponsored by Resident Commissioner Romero-Barcelo. This would be the first national education program ever named after a Hispanic leader.

Funds would be provided to states for scholarships that would be awarded to high school students who are proficient in Spanish and who want to become teaching professionals. Upon graduation, recipients would be required to work in designated need areas or repay the funds.

Mr. Chairman, this concludes my testimony. I would be pleased to answer any questions.

Chairman **McKeon**. Thank you very much.

See Appendix C for the Written Statement of Mr. Roberto Marrero Corletto

Chairman **McKeon**. Dr. Humphries.

STATEMENT OF DR. FREDERICK S. HUMPHRIES, PRESIDENT, FLORIDA A&M UNIVERSITY, TALLAHASSEE, FLORIDA

Mr. **Humphries**. Mr. Chairman and distinguished members of the Committee, I am very pleased to be here this morning to present testimony on the behalf of Florida A&M University, the Council of 1890 Presidents, the Office for the Advancement of the Public Black Colleges of the National Association of State Universities and Land Grant Colleges, and on the behalf of NAAEO, the National Association for Equal Opportunity in Higher Education, and its 117 members.

More than two decades have passed since I assumed the Presidency of an historical black university, and during ten years at Tennessee State University, and now 12 years at Florida A&M University. I cannot recall addressing a more important issue, except for that of preserving the autonomy and independence of black institutions, than the subject before us today, the reauthorization of the Higher Education Act.

The Higher Education Act that established the Title III program was a compelling demonstration of governmental power on behalf of educational opportunity for all Americans. The men and women who supported the Title III programs in the beginning and those of you here today are to be commended for your vision and your commitment to the people of this nation.

For historically black colleges and universities (HBCUs), Title III has become a symbol of national purpose and national pride. It is recognized as the ultimate equal opportunity act. Title III didn't open doors for predominantly black institutions. It brought those institutions into the circle of support that allowed them to open their own doors, create their own opportunities, and lift themselves up by their own

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bootstraps.

The original legislation was a powerful document that helped fund revolutionary changes in the intellectual and student service environments at historically black institutions. Title III has helped black institutions become more competitive, but it did not level the playing field.

We strongly urge the consideration of amendments to the Higher Education Act in order to address the declining number of African American doctorates in science, engineering and mathematics. The greatest educational imperative of the 21st Century for historically black institutions will be to produce a sufficient number of African Americans who will be involved at the highest levels of scientific and engineering development.

In the state of Florida, where affirmative action is part of a university system policy, less than 50 African Americans earned doctorates in all academic disciplines out of a total of 959 in 1994. That appalling figure was produced in a state with a population of more than 2 million African Americans.

Two years later, the total number of doctorates awarded in the state university system of Florida has risen to 1,268, while incredibly, the number of doctorates awarded to African Americans had declined to 41, a decrease of 3.2 percent. The number of African American doctorates in science, engineering and mathematics are just as dismal nationwide.

To illustrate the point, the Florida A&M University (FAMU), College of Pharmacy and the emerging graduate program in sciences at HBCUs like Alabama A&M, Morgan State, North Carolina A&T, and others hold the greatest potential for meeting the needs of aspiring African American scientists, engineers and mathematicians.

The FAMU College of Pharmacy produced over ten years more Ph.D.s, black, than the entire pharmacy schools of America during a ten-year period, since we got the doctorate in pharmacy.

I would like to cite some national figures for you, that in 1994 this nation granted 43,185 Ph.D. degrees. Nonresident aliens received 9,406. African Americans only got, 1,344. More depressing is the national data presented on doctorate in engineers. 5,800 doctorates were granted in 1994. 2,020 nonresidents got those doctorates in 1994, but only 54 African Americans got engineering doctorates.

Of the 13,100 doctorate in sciences in 1994, whites received 7,004 Ph.D.s, while nonresidents received 3,606 doctorates. African Americans only received 170 doctorates in 1994.

If you combine engineering and science, only 224 African Americans out of approximately 20,000 Ph.D.s granted in the country were given to African Americans. It is a critical state of emergency in the production of African Americans with Ph.D. degrees.

Black colleges have proven that they are capable of doing that. So in Section 326, Title III, we would encourage that Section 326 be increased. There are 16 institutions in that program today, and an average of $3 million should be allocated per institution on an average for carrying forth this job of creating a pool of representative African American Ph.D.s in science and engineering technologies.

It would be an important contribution that we want to make, and we need your support in doing that.

Chairman **McKeon**. Thank you.

See Appendix D for the Written Statement of Dr. Frederick S. Humphries

Chairman **McKeon**. Thank you, Dr. Humphries. I failed to acknowledge Representative Boyd. Is Dr. Humphries a constituent?

Mr. **Boyd**. Yes, sir.

Chairman **McKeon**. Would you like to join us here on the panel?

Mr. **Boyd**. Fine, Mr. Chairman. I appreciate it.

Chairman **McKeon**. Glad to have you here. Thank you. Didn't want to tell Dr. Humphries you were there to make him nervous or anything.

Mr. **Humphries**. He's a great representative.

Chairman **McKeon**. Dr. Cole.

STATEMENT OF DR. THOMAS COLE, PRESIDENT, CLARK ATLANTA UNIVERSITY, ATLANTA, GEORGIA

Mr. **Cole**. Good morning, Mr. Chairman and members of the subcommittee. I am Thomas Cole, Jr., President of Clark Atlanta University and Chairman of the Member Presidents of the College Fund/UNCF.

I appear today on behalf of my 39 member colleague Presidents, almost 55,000 students, and thousands of alumni, faculty, and staff to testify in support of the Title III program, which is perhaps one true measure of the Federal government's commitment to assist the historically black colleges and universities (HBCUs) in this country.

Formerly called a program for developing institutions, it represents one of the most accurate yardsticks of the federal interest in and commitment to historically black institutions, because it was and is the only direct institutional assistance program in the federal program arsenal of categorical assistance.

Since 1966, Title III has been perceived to be a black college and university program, based on an historic statutory definition in Section 322, paragraph 2 of the Act.

Although the definition does not utilize race per se, the intent is clear, since in all of American higher education only the HBCUs have suffered institutional discrimination, thus justifying remedial assistance to overcome discrimination in the past and present.

I'd like to make several quick points about historically black colleges and universities. These institutions, first and foremost, are not a 1960s affirmative action institution creation. They are academic institutions created by both major white and African American Christian denominations to educate the newly freed slaves.

With the exception of Howard University, which was created by the federal government in 1867 and continues to receive significant federal resources, all of the past and present HBCUs were created by church related groups or the states in which they are located.

Secondly, HBCUs are not now and have never been segregated institutions. Our student bodies, faculties and staffs have been and continue to be diverse and reflective of the human fabric of American.

Third, HBCUs are the major source of African American college graduates and black professionals in America. There are 117 historically and predominantly black colleges and universities in the United States, representing three percent of American higher education institutions.

Collectively, they enroll about 250,000 students, about 17 percent of the African Americans who are enrolled in higher education, and produce almost 30 percent of the baccalaureate degrees. They have a baccalaureate origin of more than 60 percent of doctorates awarded to African Americans, and the top four of the top ten undergraduate colleges who send African American students to medical schools.

Mr. Chairman, for all these reasons and others described in my written testimony, HBCUs have a remarkable record of achievement. The record is clear about what HBCUs can do and how affirmative action programs have improved access to higher education over the past 30 years. However, the current impetus behind several initiatives to eliminate affirmative action policies as well as raise base scholarship programs have significantly impacted minority access to higher education.

The Podboresky and the Hopwood cases have had a chilling effect on the ability of public institutions to continue the needs of disadvantaged students. Despite the undeniable progress that has been made in equalizing educational opportunities in America, it remains a fact that race continues to be a significant barrier to equal opportunity in higher education.

The federal government's legitimate efforts to equalize opportunity at the undergraduate and graduate and professional levels must continue until every child, regardless of race, color, family income or gender, is able to receive the same quality of elementary and secondary school.

Some specific recommendations about Title III: First, the higher education. The historically black college and university community has not yet achieved total consensus on all of our recommendations, however one consensus is that Title III is working so well that it should be reauthorized with only modest changes.

The College Fund/UNCF has adopted several recommendations for Title III that I would like to share with you. First, UNCF recommends that the list of authorized activities in Section 323 of the Act be modified to permit any Part B institutions to use up to 20 percent of their Part B allocation for endowment building purposes, pursuant to the provisions of Part C, the endowment challenge grant program.

Secondly, in Section 326, the graduate section. Congress needs to clarify the wording of the matching requirement and to clarify the definition of qualified graduate programs.

Finally, let me just make it absolutely clear that UNCF strongly supports institutional accountability for Title III and other public funds, but we have serious reservations about the Title III study evaluation contracted with Math-Tech by the U.S. Department of Education.

Our concern is heightened by the lack of knowledge in the contractor of Title III institutions in general and HBCUs and other minority serving institutions, in particular.

I will be happy to answer any questions, Mr. Chairman, regarding UNCF Title III recommendations, Section 326, as well as other recommendations in our testimony about scholarship programs affecting minority students, particularly the Patricia Roberts Harris Fellowship Program and the Thurgood Marshall Legal Education Opportunities Program.

Thank you.

See Appendix E for the Written Statement of Dr. Thomas Cole

Chairman **McKeon**. Thank you very much. We appreciate the testimony that's been given.

Let me ask a question of each of you. If you could recommend one change to improve the efficiency of Title III programs, what would that one change be? Dr. McNutt?

Ms. **McNutt**. You might not regard this as efficiency, but I would say increase the allocation, because the investment in Title III is the best investment that you make.

We have taken Title III, and I want to give you a specific example from my institution. I have been President for ten years. It was a very troubled institution when I began my tenure. As I toured the physical plant, with every roof on campus leaking, with parking lots never paved, I stopped to talk to a faculty member in the Industrial Technology Division who taught drafting.

I said, ''Where is the Computer Aided Design (CAD) equipment?'' He said, ''Where is the what?'' We wrote to receive a Title III grant. We received funding and implemented a program in CAD. That same faculty member is still at my college ten years later. He is the first of the faculty members to beat on my door: I need the latest equipment; I need the latest training; I need the latest software.

That was an excellent investment in that college and in that instructor. Those students are productive, trained employees in the workforce today.

Chairman **McKeon**. You are right. I probably would not call that increasing efficiency, but it sounds like a good use of additional resources. Okay, increase funding.

Mr. **Humphries**. Fred Humphries. Mr. Chairman, I would say that, to increase efficiency, I am going to specifically deal with Section 326.

The recommendation that I make in my testimony allows us the flexibility to use the money in the approved programs for funding in Section 326, which would give us the authority to use that money where it can best be applied to help us.

In my case, the money today is limited. When I get money in Section 326, it's limited to pharmacy, but I have Ph.D. programs in engineering, and I'm going to have Ph.D. programs in other areas. I would like to use the money where I can best see that it would give us the biggest bang for the

opportunity in Section 326.

So my recommendation is that Congress change the language to allow, within he framework of the qualified programs, the institutional administration the flexibility to appropriate the dollars.

Chairman **McKeon**. So your number one recommendation, increase flexibility?

Mr. **Humphries**. Flexibility, yes.

Mr. **Marrero**. If we define efficiency as quantity and quality, I think the best change I would propose would be to add this additional flexibility that I spoke about in my presentation to the definition of Hispanic Serving Institutions (HSIs).

There are many Hispanic students that are going to mainstream universities in the United States because of the numbers issue. The institution cannot establish programs targeted towards them using Title III.

If we can build in this flexibility into the law, it will probably serve more students. They will be getting the quality education that you see in most universities in the States.

Chairman **McKeon**. So another vote for flexibility. Dr. Cole?

Mr. **Cole**. That's a third vote for flexibility. I would extend his recommendation on Section 326 to the Title III-Part B. The Title III staff does a remarkable job in terms of coordinating with the various institutions.

Sometimes, though, with the weight of all the paperwork that they have to deal with, waiting to get approval for institutions to shift dollars to respond to activities of higher need or higher priority, sometimes you lose the impetus and the impact by having to wait.

So having the accountability after the fact rather than having to get approval in certain instances would also improve the efficiency and increase the flexibility as well.

Chairman **McKeon**. That certainly goes along with my philosophy. If we could just get the resources to you. I know, you would be more capable than I in deciding how to best spend the money, and that is something that we will definitely look at as we go through the reauthorization process.

I see Mr. Kildee is here now. Mr. Kildee is the ranking member of the subcommittee.

Mr. **Kildee**. Thank you, Mr. Chairman. I had a Democratic leadership meeting this morning, and I really appreciate very much my good friend, Carlos Romero-Barcelo, for filling in for me. He's one of the great supporters of higher education, and I appreciate it, Carlos.

I'd like to ask a question of Dr. Cole. You mentioned in your testimony, Dr. Cole, that Title III should not be viewed within the context of affirmative action. Would you say more about that?

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Mr. **Cole**. Well, historically black colleges and universities were created over 100 years ago, primarily to serve the educational needs of descendants of slaves. In recent years, given this nation's climate on affirmative action, there has been a tendency of some to want to equate the role of historically black colleges and universities as part of the 1960s affirmative action movement.

I wanted to point out that that is, in fact, not a relationship that is historically accurate, because historically black colleges and universities were created long before then to serve a much different need than was the purpose of affirmative action programs in the 1960s.

Mr. **Kildee**. I think it's important for this committee to keep that distinction in mind. I have had the opportunity of visiting a number of the historically black colleges, and I've certainly been impressed with their mission. I look forward to working with you, Dr. Cole. Thank you very much.

Chairman **McKeon**. Mr. Romero-Barcelo?

Mr. **Romero-Barcelo**. I'd like to ask one of the members of the panel, how has the Title III funding allowed your institution to do what you would not have been able to accomplish without that funding?

Ms. **McNutt**. The computer repair and maintenance program that we are implementing right now.

My institution is also involved in distance education. We got involved through Title III programs. Our state is heavily into accountability measures as part of our performance indicators this year. The technical colleges were rank ordered according to the percentage of their student credit hours generated through distance education, and my college was number one on the percentage of student credit hours generated through distance education.

We have reached and made access to education greater for many more students through distance education. We have implemented the institutional research office through Title III, too. Title III has been a godsend to us. We have served more students more effectively than we ever could have. It's a very important program.

Mr. **Romero-Barcelo**. It's certainly an impressive list of accomplishments. Dr. Marrero.

Mr. **Marrero**. In the case of the University of Puerto Rico, I think when you look at the university system, most of the programs that have been established with Title III funds, particularly those that impact directly on student retention and promotion, would not have been able to have been implemented as quickly as we would have desired because of the lack of funds at the local level.

So I would say that, for the most part, the biggest impact that we've had with Title III funds is establishing programs that strengthen the institution to do its administrative work. Faculty curriculum and curriculum work has also improved markedly in programs that would have had to be postponed for decades had the seed money not been there.

Once we received the funds, we were able to make the institution more efficient, and we could recuperate some of our own funds then to continue the programs beyond the grant years.

I must mention now that I have this opportunity that the University of Puerto Rico missed the boat on the access to challenge grants for endowment funds. It was decided that most institutions had been

served well by the time that we decided we wanted really to take advantage of these programs, and in that sense we are a little bit behind the power curve. We do not have a strong endowment program at the University of Puerto Rico, and that is a shame for the size of the institution that we have.

Mr. **Romero-Barcelo**. Thank you, Dr. Marrero. Dr. Humphries.

Mr. **Humphries**. There are several activities that, for sure, we would not have been able to do without the Title III-Part B, funding at Florida A&M University. We, too, are able to establish a distance learning program, because we are using the funds to get the equipment and the people who will empower us to do distance learning. Without that, we would not be involved in this game at all.

In getting on the Internet and buying the computers that allow us access like other institutions of higher education, it is all done by Title III.

In the important area of academic achievement, we have used Title III funds to provide what the state would not allow us to do, and that is to provide academic support activities for students who come from low income families, who come out of high school not best prepared for college. And we have been able to do this because the state wouldn't give us money for that. We've been able to use these Title III funds to strengthen those students and enable them to go on forward to graduate from the institution.

So academic support has been a strong component of what we have done, as well as what the University of Puerto Rico did. We have a very strong retention program in which we have increased the number of students that we have retained, and we've used Title III funds to start up new programs, money that the state would not give us to do, but to allow us to start new programs so that we could get them approved by our Board of Regents.

The final thing I would like to say is that without Title III support, because again the state did not provide money for personnel to do fundraising, we've been able to use this institutional support to hire people, which helps us to go out, raise scholarships to give support for the students that we have at the university.

Mr. **Romero-Barcelo**. Mr. Chairman, can we have a little extra time for Dr. Cole to answer?

Chairman **McKeon**. Yes.

Mr. **Cole**. Thank you. I'll make it short. I could add all of the activities which were about five that we do, but I just want to make three points.

One is the extraordinary advantage of the flexibility in Title III in letting the institutions decide what is best for them, so that you won't see the same exact program going from one institution to the next.

Secondly, the issue of retention is extraordinarily important to all of us, and a significant amount of our funds have been used to support retention programs and strategies to make sure that, when students come in who oftentimes come from very low socio-economic backgrounds, from high schools that have not prepared them well, to make sure that when they come in, they ultimately graduate.

Thirdly, as a participant in the graduate, Section 326, it has been an extraordinary leveraging tool to raise additional money, because of the matching requirement. So the federal government says that we'll give you a dollar, you match it with a dollar, and we've been able to do that during the entire time that we

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have been participants in Section 326.

So it's extremely valuable, but the flexibility that it affords us by allowing us to determine what we need, institution by institution, is an extraordinary advantage.

Mr. **Romero-Barcelo**. Thank you.

Chairman **McKeon**. Thank you. Mr. Fattah.

Mr. **Fattah**. Thank you, Mr. Chairman. Dr. Humphries, first let me bring you regards from a constituent of mine, Dr. Johnson, Leonard Johnson.

Mr. **Humphries**. Yes.

Mr. **Fattah**. You talked a lot about the importance of graduate education and the disparity that exists. I know that the Florida Endowment for Higher Education and Dr. Israel Tribble and your university have worked very hard, and Florida out-produces the rest of the country in the production of blacks with Ph.D.s in the hard sciences.

So you speak with a great deal of authority on this subject. We heard some testimony from the Department of Education just last week that there is some notion of merging some of the graduate education programs under the reauthorization. I'd like to hear your comment on that briefly, if you would.

Mr. **Humphries**. Yes. I really think it would not be in the best interest of those dollars to be put into a larger pool, making it possible for a smaller number of institutions to benefit from a merged program which sums the dollars up.

My real testimony to you today is that we need to find ways to increase the dollar value that the government is investing in these programs to enhance the opportunity for African Americans, Hispanic Americans, and all of the minority groups to enhance their participation in graduate programs.

The program for national needs, which is the areas of science and technology, I think it should stay like it is, provide the greatest opportunity for a larger number of students, I mean a larger number of institutions to be involved in that, and take care of it.

If I might respond a little bit more to your question, I am particularly hard on the graduate research institutions in America, because the situation has gotten to be that today 50 percent of the Ph.D.s granted in engineering are given to international students. Only 50 African Americans get Ph.D.s in engineering.

That is an absolutely terrible thing to have happen in our country. So we are now getting a group of people, whom many times, can't speak good English, who now have to be on our faculties, because we are not looking after the people in our country, and we're not looking after particularly the increasing of minorities in these critical fields.

Now everybody knows that the future is based on science and technology, and if we fail to get an adequate number of African Americans into science and technology, we will for sure close them out for participation in the future of this nation. There is not a more critical problem to face than doing something

about this. I'm sorry.

Mr. **Fattah**. I do understand your passion on this issue, and we also want to bring some reason to it, and I think you make the point. I would invite you to share with the committee in writing at some point in the future the real importance of this whole issue, how it affects both higher education and the overall economy, this dearth of participation and what we ought to be doing about it.

I wanted to get a chance to ask your colleague, Dr. Cole, a question, specifically, if you could lay out for us how you have used the funds in Title III. I think it would be important for the committee and I know you touched on it a little bit in your written testimony, to see the practical impact of these dollars on a university such as yours.

Mr. **Cole**. Well, I've indicated that there are two categories. One is the enrollment support programs for undergraduate students, where we identify early on students who are struggling, who need support to sustain their academic programs. We have special services that are computerized where they can go to the laboratories, and they can get tutoring, and additional help to support their activities, especially in the early years of their college career.

I really also want to emphasize the importance of the leveraging effect of the Title III program, because we have been able to raise significant dollars at the university because of the matching requirements that has tremendously helped the university.

Mr. **Fattah**. Thank you very much, Doctor. Thank you, Mr. Chairman.

Chairman **McKeon**. Thank you. Mr. Barrett.

Mr. **Barrett**. Thank you, Mr. Chairman. I apologize for being late. My apologies to the panel. I was not able to hear your presentations. These are hectic days in this institution.

Perhaps you can give me just an overview of perhaps your testimony. I'd be interested in knowing quickly the strengths and the weaknesses of the Title III program, just a reaction from all of you, if I could.

Ms. **McNutt**. I think the strengths are that the program does allow the institution to identify the priorities. Some other grant programs are very specific, and this enables the institution to identify what its priorities are, develop the long range strategies for addressing those priorities, and seek the funding.

One of the weaknesses goes to the endowment challenge, Title III-Part C, that used to be there. My institution is like yours. By the time I got the roofs fixed and the parking lots paved and was ready to then proceed and try to get the challenge grant, that option was no longer there for my institution, and I do think it's very important.

Title III has also enabled us, even though we didn't have the endowment, by some of the things that we're able to do that were positive things and gets the institution on the right track through the CAD equipment that I addressed, the computer technology, and the distance education, to adequate impress the local government and the county council. So we got some equipment money.

So we've been able to leverage local funding based on what we had received from Title III. So those aspects are very positive.

Mr. **Barrett**. Thank you. Mr. Corletto.

Mr. **Marrero**. Yes, sir. I think from the strength point of view we can say that it's been serving students well, minority students well, both in historically black colleges and universities and other minority serving institutions, in the programs that it was assigned to do.

In terms of weaknesses, there is an imbalance in the amount of monies being appropriated to Hispanic serving institutions. For the most part, when I look at 1996 and 1997 appropriations, they've essentially been the same for Part A. HBCUs fair much better than HSIs, but as you know, the demographics tells us that the Hispanic population in the United States is growing at a faster rate, and that money should be placed there.

So we requested in our presentation an increase in funding for Title III overall. We think also that both the HBCUs and HSIs would be served well if the graduate programs and professional programs are also funded, so that they could receive baccalaureate students into professional schools and Ph.D. programs.

Mr. **Barrett**. Thank you, sir. Dr. Humphries.

Mr. **Humphries**. Certainly, the strength is the flexibility, and Title III funding is very excellent in terms that it allows us discretion; but there is still an envelope around that discretion.

The weakness is that we've never really fully developed the endowment component part of Title III. Everybody loves a winner in the American society, and institutions that are thought to be solid in America are institutions which have endowments, and the larger those endowments are, the more significant we think of those institutions in our culture.

So we come from the poor side of the ledger. Our people are just getting to get the jobs and stronger numbers are getting out due to Title III, but they haven't been able to contribute to the endowment like other Americans, because they are first generation, just getting a job, and they are not steeped in a history of affluence.

So this endowment component of Title III needs to get off the ground to help the institution, to move us more into the mainstream, so that we look like institutions in terms of endowment.

Now our recommendation in my testimony is that in Part B that we have the flexibility. So that is what I mean by constrained, that we have the flexibility to use a portion of our appropriation in Part B to give us the flexibility that we can use that money in endowment building.

I think, as we grow in our endowment, we will attract more funds from other sectors of the society, because everybody likes a winner. When you are struggling, they don't necessarily like you that much.

Mr. **Barrett**. Dr. Cole, the light went on, but if I could hear from you briefly?

Mr. **Cole**. I would concur with my colleague about the endowment, but I would also say that the Title III program is perceived as a President's grant. To the extent that it works on campuses that understand that, it affords enormous flexibility to the President to respond to priorities of the institution much more quickly than might otherwise be the case. That's an extraordinarily advantage.

Mr. **Barrett**. Thank you, sir. I thank the panel. Thank you, Mr. Chairman.

Chairman **McKeon**. Thank you. I'd like to point out that we have Mr. Clay here, the ranking member of the full committee. Do you want to pull rank and speak?

Mr. **Clay**. No.

Chairman **McKeon**. Okay. Then Mr. Roemer is gone. Ms. Woolsey.

Ms. **Woolsey**. Thank you, Mr. Chairman. Since the funding for Title III has actually been held in place and not increased over the last three years, yet your enrollment has increased in historic black colleges and universities over the same time frame, what impact has this had on you? If you would each respond to that for your institutions, and could you also tell us what percent of your funding comes from Title III, just in general. You don't have to be exact.

Mr. **Cole**. About three percent of the total funding of Clark Atlanta comes from Title III, and the static budgets make it very difficult for the competing interests at the campus vying for the same kinds of support. It just makes the struggle that much more difficult.

Ms. **Woolsey**. But is there anything you've given up?

Mr. **Cole**. Oh, yes. Every year, we have to reassess and restructure and reduce and enlarge, particularly those programs that have more undergraduate students supported, for example. Those programs do increase slightly, but that means something has to give, and some of the initiatives in math and science, for example, have had to be reduced.

That's the hat we wear as chief executives, and it's not a pleasant one, but we have to make those choices.

Mr. **Woolsey**. Thank you, Dr. Cole. Dr. Humphries.

Mr. **Humphries**. Yes. The percentage of our budget that comes from Title III is about two percent. We are 11,000 students are the university. Our freshman class, first time in college students, is about 1700. Yes, that growth has not changed the demographics of our students.

In the state of Florida, every year Florida gets increasingly black from its high school graduation. Right now in the elementary school, Florida is about 33 percent black. So sometime in the future it's going to be 33 percent of the high school graduates are going to be from African American in the state of Florida.

So there is an increasing number of African Americans in the state of Florida that need to be exposed to higher education. The fact that they are not showing greater improvements in socio-economic status and not showing greater improvements in the preparation, stretches the funds that we get from Title III.

Now what we have tried to do to be true to this concept in Title III: Whenever we could institutionalize a program, we took that program off of Title III funding. And we used the Title III funding to go to something else that we needed to be strengthened in. So we have a record of, as we get additional dollars from the state from our growth, we incorporate that program into the heart of our institution, and then use the Title III funds to go and address another component part.

Ms. **Woolsey**. A new program.

Mr. **Humphries**. Yes. So it moves around.

The growth could use increases in Part B of Title III, and certainly an increase in Section 326. So one of the greatest things that you all could do for us is to increase the level of funding in both programs.

Ms. **Woolsey**. Mr. Corletto.

Mr. **Marrero**. Yes. It's a funny thing that you asked about numbers, because I think there's some relevant information here. The University of Puerto Rico has increased its total enrollment from 57,000 students three years ago to 68,000 students this year.

Half of those numbers are retention of students in the campuses. I can speak to the campus which I preside over, which has 4,300 students. The total budget or contribution of Title III to my budget is only one percent. So it's a very small fraction, but even though you see numbers in the appropriations being stable, I have to tell you that for the past two years we received cuts in the allocation of funds to the institution for our Title III program from the Executive Branch.

We have had to absorb the cuts because discretionary funds are made available in Puerto Rico through the state legislature. So we have not sacrificed our program objectives, because we have decreased federal funding, but the numbers might be stable here, but they are not stable in my accounts. They are going down.

Ms. **Woolsey**. Dr. McNutt.

Ms. **McNutt**. Yes. My institution serves 1,700 students this spring. In my written testimony I used the figures from last fall. That was 1,538. We have about 39 percent this spring of minority students. It was 36 percent in the fall.

The budget is about $8 million for the college. The Title III grant is about $400,000. So it is a significant amount that has made a tremendous difference in the college. We have increasing demands for the services, for the needs and, of course, increasing difficulty in obtaining the Title III.

Ms. **Woolsey**. Thank you, Mr. Chairman, for letting me go over a bit.

Chairman **McKeon**. Thank you. Mr. Hinojosa.

Mr. **Hinojosa**. Thank you, Chairman McKeon.

I want to thank the panelists for coming to talk to us. You are the first group of panelists that I can identify with, and who have certainly made my mind be fully alert, especially because you all speak of students with whom I relate to in my district.

I come from Texas. We have approximately a dozen technical colleges, state technical colleges, and we have 50 community colleges, and I just served as founding chairman of a community college that celebrates its fourth anniversary, and already we are serving 6,000 students and project to be at 10,000 within two more years.

Dr. **McNutt**, when you said that that professor asked you for CAD, or you asked him for CAD, I identified with my wife, who is an architect. She went in and created a community, rather, a partnership with another lady, and they didn't have CAD. She'd just graduated from college, and she set it up, and today five years later they have 12 employees, and they're doing state contracts and just doing a wonderful job.

So I can sure identify with some of your remarks. Some of what I'm going to say and ask will probably be directed more to Dr. Roberto Marrero.

Our area has a situation that is unique, because we have about 75 percent Hispanic in the region of the total population, and where I have four colleges and universities in the Congressional district, Bee County Community College in a region that is about 75 percent only has half of its students Hispanic.

I asked the question, why. They said that they had discontinued, not the Pell grants, but the financial aid, because they had such a high number of people who hadn't paid their loans.

Well, you can understand that, if over 50 percent of the population of the workers are making less than $12,000 a year, it's very hard for their parents or they themselves to pay back.

So the question I would ask you is: How can we get the Congress to give the same consideration to these Hispanic serving institutions, because all four of them in my area are HSIs. How can we get the Congress to give us the same consideration that we give the African American colleges and universities so that that can be waived, and that we can restore financial aid to all the students?

Mr. **Marrero**. Default rate rules have impacted also institutions at the University of Puerto Rico. We are very vigilant on that and, of course, if the students don't pay, we lose the funds.

My institution lost Perkins loan authority a couple of years ago, and we had to go to credit bureaus to try to recoup. We eventually got back into the normal statistics.

There are two messages here that I think we should send to our students. If you incur a debt, you have to make sure that you pay it, particularly if they finish school; but I think that most of the default rates are from students that are unable to finish college, for some reason, and are not able to get a higher paying job if they decide to join the workforce.

Somehow there has to be some flexibility into those rules, as they would apply to a graduate. If you have a graduate that's making more money, and he does not pay his dues, then I think that should be done, but some degree of flexibility should be placed also into the rulings for students that, because of the

social pressures or the family situation, are unable to pay, or at least at the rate that is required in the loan, maybe some rules in terms of being a bit more flexible in the pay back.

Mr. **Hinojosa**. Lastly, as you know, HSIs are authorized to receive $45 million in support, but they have never been funded at that level. Fiscal year 1995 was the first year that a $12 million appropriation was made for HSIs.

In subsequent years HSIs received annual appropriations of only $10.8 million, an amount that is only one-tenth of those made available to similarly situated institutions serving minority students.

What can we do to convince the Congress and the appropriations committee that this number needs to be brought up to $100 million?

Mr. **Marrero**. I think, if you use the efficiency, the ability to be able to put students into graduate programs. The University of Puerto Rico has a good track record. Many institutions, Hispanic Serving Institutions, have good track records of using federal funds well.

I think the reality of demographics will eventually convince Congress that either they do that or they will have a sizable population, angry part of the American population, essentially outside of mainstream, and asking questions also.

Mr. **Hinojosa**. Thank you. Mr. Chairman, I want to conclude by saying that, by the end of my first term, I want to have the same passion that Dr. Humphries has, the same passion for the work that you do. Thank you.

Chairman **McKeon**. Thank you.

We want to thank you. Everybody has had a chance to ask questions to this panel. We want to thank you, want to encourage you to follow the process and keep involved in the process as we go through writing a bill and trying to get a bill passed.

If you think of something that you didn't say today that you want to say, just communicate that to us and keep an eye on us to make sure we do the things that you asked us to do, we'd appreciate it.

We'll end this panel now, and ask the second panel if they will please come forward. We'll take just a couple of minutes to break.

[Recess.]

Chairman **McKeon**. If we can bring the committee back to order, we will begin with our second panel. We will hear first from Dr. Corrigan, President of San Francisco State University, my home state. We're awfully glad to have you here today.

Then we will hear from Dr. Nelms and Ms. Van Uum. We will turn to the ranking member who wants to make some comments about Dr. Nelms from his home state.

Mr. **Kildee**. Thank you very much, Mr. Chairman, and again I apologize for the fact I had a leadership meeting this morning. We have some major legislation on the floor today affecting the revenue in this

country.

I am blessed, and I use that word very carefully, to number among my friends Dr. Charlie Nelms. Dr. Nelms and I are actually neighbors. We live in the same neighborhood, about five blocks away.

He has been such an asset to both University of Michigan, Flint, and to the entire community. As you know, Mr. Chairman, when you and I go back home, we are around the community quite a bit, as is Dr. Nelms. He is constantly around that community. Flint is better because of him; the University of Michigan is better because of him; and I personally am a better person because of him, and I welcome him here this morning.

Chairman **McKeon**. Thank you. Ms. Van Uum, you're from St. Louis, and our ranking member of the full committee is from somewhere in that area. We would turn the time to him. Mr. Clay.

Mr. **Clay**. Thank you, Mr. Chairman, and I'm certainly pleased and honored to have the opportunity to introduce my good friend, Betty Van Uum, who will be testifying this morning on behalf of the University of Missouri at St. Louis.

Betty is pinch-hitting for Chancellor Blanch Touhill, who also is a great friend of mine. We were in the same graduating class from St. Louis University some 40 or 50 years ago. Chancellor Touhill doesn't like for me to remind her of that, but I guess it was about 50 years ago.

Betty has been a senior officer at the University for nearly 15 years, and she's well qualified for the position which she presently holds as the campus's official liaison with the public sector. In that capacity, she is responsible for government relations at the federal, state and local levels.

She's active in a number of higher education associations and commissions, particularly those which relate to linking universities with our urban communities.

Mr. Chairman, in addition to her position with the university, Betty was appointed in 1994 by the current Governor of Missouri to serve as a Commissioner for the Bi-state Development Agency of Missouri, Illinois, Metropolitan District, which operates our public transportation systems in the region, and this year she was elected Chairman of that Commission and appointed Acting Director of the agency.

So if all of that were not enough, Betty is also very active in a number of volunteer organizations and nonprofit groups, including, the Bill Clay reelection campaign, which is a nonprofit organization. We certainly don't show a profit, but Mr. Chairman, I'm very pleased to be able to introduce my good friend today, and I regret that, because of another meeting, I will not be able to stay to listen to her testimony.

Thank you.

Chairman **McKeon**. Thank you.

Chairman **McKeon**. We'll hear now first from Dr. Corrigan.

STATEMENT OF DR. ROBERT A. CORRIGAN, PRESIDENT, SAN FRANCISCO STATE UNIVERSITY, SAN FRANCISCO, CALIFORNIA

Mr. **Corrigan**. Good morning, Mr. Chairman and members of the subcommittee. I am Robert Corrigan. I am President of San Francisco State University, and I'm pleased to be here today, both representing my institution and be here also on behalf of the 23 campuses and the 326,000 students of the California State University.

I have submitted my written testimony, and I want to touch on a couple of important points. In discussing the value of Title XI, I do want to start with a comment about the crucial role of urban universities.

Campuses such as San Francisco State University or the University of Missouri at St. Louis or California State University-Northridge consider engagement with the community to be a fundamental part of their teaching and of their learning.

Our scholarship often focuses on community issues and needs. Our standing as an impartial community resources enables us to create new kinds of partnerships to address these needs, and we are, in short, reshaping that venerable land grant model, but this time for an urbanized nation.

At a time when higher education is, I would argue, appropriately being held accountable for the quality of its graduates and for the cost effectiveness of its operation, the urban university's ability to join education with community improvement, to forge broad based relationships and partnerships, and to leverage both person power and funding is a major national asset.

As Congress looks to streamline federal programs, balance the budget, and maintain program quality, I would argue that one of the most cost effective uses of federal dollars is incentive funds that enable institutions to leverage other resources and to combine strengths.

The urban community service program is a strikingly successful example of this. Recent efforts, I believe misguided, to eliminate this program reflect unawareness of the return on this modest federal investment, which is so enormous.

In partnerships that include K-12 school systems, private industry, local, state and federal agencies, foundations and community organizations, colleges and universities throughout America are engaged in a wide range of community issues. You are going to hear a wealth of testimony. You have received a wealth of testimony about these programs.

Their common strength and the particular value of Title XI is the partnership requirement. Other federal programs may deal with a specific issue or part of a large problem, but most federal programs do not require coordination with all segments of the community.

Partnerships are what institutionalize and, I would argue, sustain programs, and universities are unsurpassed community partners. They offer faculty expertise. They offer access to the cutting edge research, use of equipment, and facilities, fundraising and grant writing expertise, an energetic student workforce, and the ability to mobilize community service volunteers.

Mr. Chairman, what a brilliant stroke it was to require the city leadership and university leadership to sit down and plan together, and I can assure members of this committee that, when Mayor Willie Brown

sits down with me to figure out where he wants the program to go, we listen to that mayor, and the programs we produce are better for it.

Now as Title XI grants have demonstrated, with a small amount of federal support universities can lead the way in building sustainable programs, leveraging dollars from state and local governments, civic groups, schools, colleges and universities, foundations and private businesses.

Title XI is a federal program that is working. It's working exceedingly well. It is empowering local people to solve their own problems and requiring all sectors of the community to contribute something to the effort. I believe strongly that Title XI must remain a part of the Higher Education Act and that its funding must continue.

In my written testimony, Mr. Chairman, I speak of two important programs, among others, that we have done with Title XI funding. Let me not repeat now what I say there except to stress the importance of what we have been able to do with a small amount of federal funding.

We found ourselves with a high school in town in which only ten percent of the graduating seniors were going on to postsecondary education. Within a period of a short time, we increased from ten percent to 85 percent the college going rate of that population in a largely Chicano and Latino school.

We put in a health service program that first was to serve the students and ended up serving the whole neighborhood, and increased the retention level of those students in that high school, again because of the availability of Title XI funds.

I would conclude with a couple of suggestions. I would suggest that Congress more specifically target the program, identifying a few broad areas of priority in the legislation, and among them I would suggest welfare to work and workforce preparation, community infrastructure projects linked with empowerment zones, enterprise zones, and community block development grants, education, health and indeed crime prevention.

Secondly, I believe there should be changes in the findings section to reflect the current situation in America. Finally, I suggest that there be a section on information dissemination that would include the use of electronic technology.

I'd be happy, Mr. Chairman, to work with members of the committee on specific language at the appropriate time during the reauthorization.

Thank you for the opportunity to speak to this critical piece of legislation, and I look forward to answering any questions that you may have. Thank you.

Chairman **McKeon**. Thank you very much.

See Appendix F for the Written Statement of Dr. Robert A. Corrigan

Chairman **McKeon**. Dr. Nelms.

STATEMENT OF DR. CHARLIE NELMS, CHANCELLOR, UNIVERSITY OF MICHIGAN-FLINT, FLINT, MICHIGAN

Mr. **Nelms**. Good morning, Mr. Chairman and members of the subcommittee. I am Charlie Nelms, and I am Chancellor at the University of Michigan in Flint.

I was sitting here earlier listening to the panel talking about the importance of the Title III program; and if you wonder about that program, you're looking at the success.

Mr. **Fattah**. Mr. Chairman, could he use the microphone, please?

Mr. **Nelms**. As I was saying earlier, I was listening to the previous panel's testimony talking about the Title III program. I am one of the beneficiaries of that program, if you have questions about its impact. I grew up in a delta region of Arkansas, one of 12 children, went off to a little Arkansas college, and with a college Work-Study grant and a national defense student loan, as it was called in those days.

I've since gone on to try to help to make educational opportunity a reality for others. I just wanted to observe that, if you have questions about the impact of the program.

I want to talk about the Title XI program today. My campus is located in the heart of Flint, Michigan, once one of this nation's most manufacturing intensive environments, and we are doing some good things there. There's an enormous amount of work to be done.

I contend that as the social contract is rewritten between higher education and the American society that the urban universities will play a pivotal role in helping to revitalize our cities. This is especially true in cities once dominated by manufacturing industries that have experienced a tremendous amount of downsizing.

Just to give you an example, in the mid-1970s Flint, Michigan, had about 80,000 automotive workers. Today we have about 35,000, and we are bracing now for another downturn shortly after the turn of the century where we could end up with about 15,000 jobs being lost.

Once a vibrant city, Flint's downtown district where we are located, like many urban centers throughout America, is now a mix of government offices, law enforcement agencies, boarded-up storefronts and taverns. A suburban economic development ring has been created by those businesses leaving downtown, and new businesses joining them on the outskirts of the city, and all the while the expectations have been growing regarding the university's role in economic revitalization.

I'm pleased to note today, Mr. Chairman and members of the committee, that the University of Michigan-Flint is rising to meet those expectations, and we are able to do that in large measure because of the kind of support that we receive under the Title XI program and under HUD's Community Outreach Partnership Program.

We are one of only three institutions nationwide to receive both the Title XI funding as well as the HUD funding. So it's the synergism of these two programs, along with the other programs that we offer on our own.

We are working primarily in three areas: First, we are working with businesses that are located in Flint's Enterprise community. We were designated as an Enterprise community.

Secondly, we are providing assistance to people who want to start a business.

Thirdly, we are helping to develop a database of businesses that are located in the Enterprise community and to ascertain what their needs are relative to training, and then we are going a step further, and we are providing that kind of support and assistance to those businesses.

In the 18 months since we've had our grant, we've assisted eight existing small businesses in that Enterprise community, and we've worked with more than 100 prospective entrepreneurs. The impact of these programs, I should tell you, is immediate and critical.

Small businesses emerge stronger, while neighborhoods have a better chance at revitalization. Faculty and students are able to use their knowledge to address authentic community problems, while taxpaying small business owners and prospective entrepreneurs gain access to a university that they once considered beyond their reach.

Title XI is the only program designed specifically to forge partnerships between communities and urban universities. The Department of Housing and Urban Development is in the process of phasing out about 45 of its programs under the Community Service grant. When that happens, there will no longer be any federally funded programs that encourage the formation of strategic alliances between urban universities and the communities where they are located.

At the University of Michigan-Flint, all of our activities involve students, faculty, and residents from the community. In short, students get an opportunity to experience the case study rather than dealing with some hypothetical situation.

Mr. Chairman, earlier this week President Clinton observed and made known to the public some of his ideas for revitalizing cities. I live in the city, and I work in the city, and I have a firsthand knowledge of the challenge, but as Chancellor for an urban university I'm equally as knowledgeable of the opportunity for addressing these problems if more partnerships are formed between universities and cities.

I, therefore, urge you in the strongest terms possible not only to continue Title XI, but to increase funding and the number of universities participating in this enormously valuable endeavor.

Finally, I know from experience that education is the avenue to a better life for current and future generations. However, unless urban dwellers can access that education in its various forms, the gap between the haves and the have nots will continue to grow.

I'd be happy to respond to any questions.

See Appendix G for the Written Statement of Dr. Charlie Nelms

Chairman **McKeon**. Thank you. Ms. Van Uum.

STATEMENT OF MS. ELIZABETH VAN UUM, ASSISTANT TO THE CHANCELLOR, UNIVERSITY OF MISSOURI AT ST. LOUIS, ST. LOUIS, MISSOURI

Ms. **Van Uum**. Thank you. Mr. Chairman, members of the committee, I am Elizabeth Van Uum, Assistant to the Chancellor for Public Affairs at the University of Missouri (UM), St. Louis, as Mr. Clay nicely told you, and I'm honored to appear before you today on behalf of our 18,000 faculty, staff and students at the University, the 86,000 people who take annually continuing education class on our campus, and our many community partners who depend on UM, St. Louis to make a difference in our area.

My testimony today will focus on the emerging role of urban universities that are addressing the critical issues of America's cities with the same teaching, research and service philosophy instilled in the original rural based land grant institutions.

More than a century ago, America built a national resource through deliberate federal investment in a class of land grant universities that would help ensure the realization of economic potential inherent in our agricultural and natural resources. These institutions continue to play vital roles in fulfilling modern aspects of that agricultural mission. They are truly American success stories.

I believe the success of the land grant institution stems from two primary factors. First, the federal government established a steady, ongoing base of financial support for them to operate. Secondly, this is important to today's consideration, the federal government directed its support to institutions best prepared to meet that mission, institutions that were located among the rural communities and the populations which were to be served.

Authorized under Title XI of the Higher Education Act of 1965, the Urban Community Service Program has been the first and only federal effort to specifically support institutions in urban areas by providing critically needed funding to establish model programs in areas of concern to urban communities.

My purpose today is to emphasize to you the importance of continuing the funding for Title XI. The crisis in our nation's cities demands federal focus and funding.

This program helps put the expertise of urban universities to work in their immediate communities where the need is the greatest. The program has a proven record of success in addressing the problems of the cities. It must be continued. It must be expanded.

As an urban land grant university, the University of Missouri-St. Louis participates in several formal and informal groups of urban universities that network together in order to share experiences, models, and strategies for addressing metropolitan issues.

These include the urban interest groups within NASULGC, the National Association for State Universities and Land Grant Colleges; the American Association of State Colleges and Universities (AASCU); Coalition for Urban and Metropolitan Universities (CUMU); and the Urban 13.

UM-St. Louis has greatly benefitted from participation in these networks of institutions that serve as a natural avenue for dissemination of shared learning. Our story at UM-St. Louis is representative of the story of all of the major universities.

UM-St. Louis is located in the heart of metropolitan St. Louis region. We draw more than 90 percent of our students locally. We enroll and graduate more African American students than any other four-year institution in our state, and at 60 percent we enroll a significant female population.

Our graduates, 85 percent of them, live and work in the St. Louis metropolitan area. We educate St. Louis. We also conduct research which benefits St. Louis companies.

Our trained research faculty and staff provide much needed emphasis to the economic and social development of the region. Our new Center for Molecular Electronics, where St. Louis faculty and corporate researchers work side by side on products which will keep our nation globally competitive, is a good example of that.

We also partner with local cultural institutions. We have an endowed professorship program where our faculty has a joint appointment with the St. Louis Art Museum, the St. Louis Symphony, the St. Louis Zoo. We draw on the existing resources in those institutions and bring them to bear on the educational experience of our students.

There are many other institutions like ours throughout the nation that benefit from Title XI funding. We do not. You may ask why someone from an institution that has no Title XI funding is here today to offer testimony.

I hope my testimony will say to you that we in the urban university community are part of a national collaboration to make our cities stronger. We benefit from what our colleagues in other cities are doing, and we know that with increased funding we could do the same for the St. Louis area.

Mr. Chairman, I truly appreciate Congress's commitment to the urban university agenda. Your support, the members' support for Title XI, has given us all hope and heart.

My recommendation to you is that you continue the funding at least at the current level, and try to find under the important financial constraints that I know you all face some increased money that will help leverage the existing developed resource of America's urban universities for the benefit of the people in our cities.

Thank you.

Chairman **McKeon**. Thank you very much.

See Appendix H for the Written Statement of Ms. Elizabeth Van Uum

Chairman **McKeon**. Dr. Corrigan, in your testimony you talk about the success of the programs at San Francisco State. The specific program you referred to, was one where you went to a high school with ten percent of students going on to pursue higher education and got them up to 85 percent going on to postsecondary education. Does the Department of Education collect information on these programs and disseminate ideas to other schools? Do you know?

Mr. **Corrigan**. Sporadically, Mr. Chairman. One of the things that we are urging, or at least I'm urging in my testimony is that there, in fact, be a requirement of dissemination, that what works in different places around the country become models that we could replicate in other places.

So there is a sporadic collection of it, but it's not required under the Act, as I understand it.

Chairman **McKeon**. Have they ever sent you ideas that they've gathered from other schools?

Mr. **Corrigan**. Yes, and we do have quite a network, of information that does get circulated.

Chairman **McKeon**. Through the Department or do you do it through your associations?

Mr. **Nelms**. There is a network of all of the institutions that receive funding under Title XI. So that group gets together, and then that information is shared with a wider group.

Also within AASCU, the American Association of State Colleges and Universities, we are part of an initiative where we share information at annual meetings and other types of gatherings.

Chairman **McKeon**. What did you do at that high school?

Mr. **Corrigan**. By the way, I should point out that we started with that, and then that program has expanded to 20 additional schools in the area. We had faculty on site. We had counselors there. We allowed them to participate and work out at the university.

When I go to that high school, they would know who I was, and all of a sudden they would be taking out their identification cards that showed that they were entitled to use the library at San Francisco State or go to our athletic events.

It was working closely with the teachers in interactive activity, but over a period of years, we actually increased, as I said, from roughly ten percent of that community going on to postsecondary education to 85 percent. We have now moved that into 20 other schools with funding out of this Act. By and large, 85 percent of the students that we're working with in those 20 high schools go on to a postsecondary experience. It could be a two-year college as well as a four-year college.

Their persistence rate in colleges and universities is above the average. That is, they are likely to continue on and graduate at a higher rate than those who do not go through a program like this, Mr. Chairman.

Chairman **McKeon**. Well, I commend you. I went back and spoke to a leadership class at my alma mater a few weeks ago, and there were about 30 kids in the class. I asked them how many of them were going on to postsecondary school, and three raised their hands and said they were going to community college, and one said he was going to a art and music school back in Wisconsin.

It was discouraging. I thought we should be doing better, and that's why I was wondering specifically how you, motivate, encourage, and open up that opportunity.

Mr. **Corrigan**. Chancellor Nelms' point, I thought, was so well taken in terms of what we could give back to the community, if we learn from it. The high school that I've been talking about, the Mission High in the Mission district of San Francisco. a very high concentration of Chicano and Latino students.

We selected large numbers of Chicano and Latino faculty to participate in the program, because they were role models, and they said to a generation of youngsters who didn't have role models, they were the first in their families oftentimes to be in high school, that not only can you graduate from high school, but you can go on to college. You can be like me is what our faculty were saying, and offered them models for success.

Chairman **McKeon**. Thank you. Dr. Nelms, how did your brothers and sisters do?

Mr. **Nelms**. My brothers and sisters? Out of 11, I have 11 sisters and brothers, counting myself. Eight of us went on to some form of postsecondary education, in education and business and various endeavors, public health.

Chairman **McKeon**. That's tremendous. Your parents, I'm sure, get a lot of the benefit of that.

Mr. **Nelms**. I would say all of it.

Chairman **McKeon**. Yes. Thank you. Mr. Kildee.

Mr. **Kildee**. Thank you very much, Mr. Chairman.

Chancellor Nelms, people on this panel have heard me say many times that on the east side of Flint, where I was raised, no one went to college until the G.I. Bill of Rights came along. All those dollars spent then were clearly investments. I noted that you indicated you received probably less than $12,000 in financial aid, and I know that you've returned far more than that to the Treasury, because of your education.

I really think that we constantly have to remind ourselves that what we put into education is truly an investment. I've always thought we should put our education budget into our capital budget as an investment budget, because it really is that. I know you remember that every day as you serve those at the University of Michigan-Flint.

A couple of questions. By the way, the Chairman here had a chance to see your university by just looking out of his hotel window when he was in Flint. You're right up to Saginaw Street. The town and the gown truly meet there, and it's very, very good.

Let me ask you this question. Hopefully, I'm sure this committee and the Appropriations Committee, despite feelings of others, will continue this Title XI program. What impact, however, would discontinuation of Title XI have on your university and others who receive funds?

Mr. **Nelms**. For our university when you think about this program, it's a very small program, and so maybe people may be quick to think that it doesn't have that much of an impact; but it has an enormous impact in the following ways at our institution.

Higher education institutions are very intimidating for people who are not educationally inclined, people who have not had those advantages. This program gives us that opportunity to enter into the community and say to people, you can access all of these services that we have without having to be

enrolled in a graduate or an undergraduate program.

Colleges and universities in urban centers do and must continue to do more than simply grant degrees to people. There's an enormous amount of expertise in our business faculty members, our health people, teacher education programs. So this program gives us an opportunity for those people to access that, but when you take this program and add it with HUD's Community Partnership Centers, and then you take that and add it to what we're trying to do with the MOD Foundation, it's the synergism you get going between all of those programs.

So if you pull out any one part, then that sort of upsets the whole, but it really says to the community, you're really not that important. When you start discontinuing those services, you give them and you take them back, you say you're really not a very high priority, is what we're really saying to those people who would not otherwise be able to access the university.

Mr. **Kildee**. I noted, I come home every weekend, of course, and from the north side of Flint to the south side, east side, west side, there is a feeling of ownership of the University of Michigan-Flint by the people there.

I mean, they really feel that you are reaching out, that you're not isolated. I think that's very important, and your flexibility which you have there where they don't have to be really enrolled in a particular program, that flexibility, you really feel that sense of ownership which is very, very important in the community.

Are there outreach programs funded by other federal agencies that are better suited for funding and managing the Title XI?

Mr. **Nelms**. To my knowledge, there are not. I think with HUD and Education, those are the two that specifically establishes this relationship between urban centers and universities that are located in urban communities. Both of those programs are at risk as of right now.

I'm not aware of any other agencies. There are agencies that provide technical assistance. The problem is we're talking about more than technical assistance. We're talking about establishing a sustainable relationship between a community and the university, with the community served and the university. That's what we're talking about.

I brought along here with me a little document where we have profiled every outreach activity we have at the University of Michigan-Flint, 42 pages of everything from the cultural affairs to K-12 to environmental management. It's all here, and this is the kind of thing we have to be able to sustain.

This is not all offered through this Title XI program, but it's an example of what it is that we're trying to do.

Mr. **Kildee**. Thank you very much, Chancellor. Thank you.

Chairman **McKeon**. Are you going to leave that? We can put that in the record?

Mr. **Nelms**. Yes, sir.

Chairman **McKeon**. Thank you. Mr. Fattah.

This Document is contained in the Official Record, which is on file with the Committee's Official Record.

Mr. **Fattah**. Thank you, Mr. Chairman. It was of interest to me, and I'm sure to others, that the Summit of Eight, as it's called now, which took place in Denver just a few days ago, the President of the United States was boasting about how our economy was leading the world and the creation of jobs here; and it was the leader of France who, I guess, felt the need to respond, and indicated that, even though America, obviously, had a lot to boast about, only a few minutes in one of our inner cities could convince any visitor to our country that there were still issues that confronted us as a nation.

I thought it was a sobering moment for the President and perhaps for the American people to have on the world stage, such as it was, this exposure of one of the missing links to our national economic strategy. We really don't have in our country any world class city, to speak of. We've let our cities fall apart through neglect and misplaced priorities, particularly at the national level.

Urban universities are, I think, an appropriate starting point to look at institutions that have made a commitment to urban cities, unlike others that have fled and have moved away. Urban universities are indeed connected in important ways to what is going on.

This program is an illustration of how meaningful interaction can take place, and I wanted to just suggest, I know there is going to be some debate about how we go forward on this issue, and I think the Chairman kind of touched on it a little bit when he asked the question about the sharing of information.

There's really, first of all, a lot that is being done by universities all over the country as part of and as separate from Title IX. There are a lot of experiences, both good and bad. There are lessons to be learned, not only from the successes but from activities in which these universities have been involved that have not proven to be as successful; but it is important that we find ways to share that information.

I think that, as we go forward, I want to be searching for ways in which we not only can keep this program in place but really enhance it. I'd like to see us have more interaction between the university leadership, perhaps some of the other entities, U.S. Conference of Mayors and others, in which perhaps there could be funding made available, but also a process in which we engaged more of the stakeholders in urban America in this partnership, because it is not just universities that need to be a part thereof, as we search for solutions and share the examples of successes around the country.

So I just wanted to not ask a question, but just to suggest that we appreciate your testimony. We'll be looking for ways of working with the Chairman and others to enhance the role and the opportunity for urban universities to do more than just give out degrees, as it was so aptly put. So thank you.

Chairman **McKeon**. Thank you. Ms. Woolsey.

Ms. **Woolsey**. Thank you. I think that it's my responsibility to take credit for San Francisco State University and to introduce our doctor here. One because my district is the neighboring district north across the Golden Gate Bridge from San Francisco. Also, and mainly, because two of my for children graduated from San Francisco State University, and they are wonderful young adults. Their education has done them well, and I thank you for that.

I really want to thank San Francisco State University. I want to brag about you on two different levels. One is because your enrollment is just about the size of the city I live in, Pataluma. It's huge. What an undertaking, but at least half of that or almost half of that is evening courses.

So that makes it possible for the people in our region, the entire Bay area, to go to school and better their education while they're working. I think that's crucial.

The other brag I have about your school, Doctor, is your childcare center and the ability that gives working parents in general, but particularly mothers, and welfare-to-work mothers to go to school. You make it easy for them to go to school, and I thank you for that. You're a model for our nation.

So what I'd like you to tell us is how does Title XI help you in meeting the needs of the Bay area in general and San Francisco, in particular, and what more do you need from us to do an even better job?

Mr. **Corrigan**. You know, in many ways Title XI is symbolic, and I think it's what I was getting at. It's a really paltry sum. I'm sorry, but it really is a small amount of money that's there, and you have to understand that I worked from 1979 when I first became Chancellor of the University of Massachusetts at Boston all the way through the authorization. You may remember Jim Harrison who once served this committee as staff when somebody called the Council of Urban Universities to get the funding.

It was originally authorized at $50 million. We thought we would really move ahead, and we've had a very small amount of money, but it's one of the few programs, as I tried to stress, that requires the university to sit with its city leadership and together to define what are, in fact, the crucial issues that you need to work on.

Could we survive without Title XI? Absolutely. I mean, our urban institutions are not going to fall apart if we don't get Title XI, but the business of being able to encourage our institutions to be more involved in our cities, the freeing up of faculty time to work with a local agency, the harnessing of the talents of students. We haven't talked about that very much, but I think there's a tendency to see students in an outmoded way as kind of narcissistic and not involved in their communities.

Our students live in the community. They are part of the community. They are working in the community, and with a little bit of money that we get through things like Title XI, we free them up for things for the whole community service movement.

More money in Title XI? I can't get a renewal grant. One of the marvelous things, I think, again about Title XI is that, once you've got the money, you've then got to institutionalize what you're doing, and the next round goes to other institutions.

If you put more money into this, you could empower more urban institutions around the country to do more things with their communities. So I would urge you very much to think in terms of allowing more than the seven or eight institutions that have been able to get funding to do something with Title XI.

Yes, we could urge more. NASULCG and AASCU are doing a good deal of good work in getting information out into the community, but we could put more pressure on the appropriate bodies and see to it that more of this information is made available around the country.

Chairman **McKeon**. Thank you. You say only seven or eight institutions receive that funding?

Mr. **Corrigan**. I think. Was it eight or nine?

Mr. **Nelms**. It's less than a dozen.

Mr. **Corrigan**. It's less than a dozen then.

Chairman **McKeon**. How much did you receive?

Mr. **Nelms**. We have a grant, five years for $1.2 million.

Chairman **McKeon**. I was looking. Last year the appropriation was $9.2 million?

Mr. **Corrigan**. We received $1.5 million, Mr. Chairman. We were in a joint proposal with Los Angeles, and they got a little bit, too. So there are less than a dozen institutions that got funding.

Chairman **McKeon**. Okay. Mr. Ford.

Mr. **Ford**. Thank you, Mr. Chairman, and certainly to Mr. Kildee and all of our three witnesses. Thank you for coming.

I am delighted to see the gentleman from the University of Michigan here with us today. I'm a Michigan graduate and we met a few minutes before you delivered your testimony. Further, I grew up right across the river there in Memphis right across the bridge. I understand you're a West Memphian, and we appreciate you all taking our name and attaching Arkansas as your suffix.

My dad grew up in a family of 15, and all of them went on to college as well, and you talked about your parents, and I think of my grandparent, and I think of their trust. You talk about your parents did it all, but I'm a fairly religious person. I take the liberty. I know the Supreme Court struck down one of the acts that Congress passed last Congress, but God had something to do with it as well.

My comment is really just to reinforce what my colleague from Philadelphia and, certainly, Ms. Woolsey from California. We talk about the role, the increasing role and increased responsibility that urban universities will play in terms of, as the distinguished professor talked about from St. Louis, in helping to leverage human capital and resources and helping to improve the conditions of communities in our urban areas.

I would just really salute you. It's really a meager sum of money that you get from the federal government, and the fact that you've been able to utilize those resources to accomplish what you've been able to accomplish is significant, in and of itself.

I'm hopeful, as Mr. Kildee talked about and even Chairman McKeon who is a good man and certainly is committed to many of these initiatives and committed to higher education, hopefully, that the appropriators, despite some of the opposition we face here, will see fit to increase funding in these areas.

I think, as Ms. Woolsey so aptly and eloquently put it as she talked about the President from San Francisco State and some of the things that you're able to do there in terms of assisting welfare-to-work moms, we need more of that type of assistance.

We need more of those efforts and, hopefully, Congress, particularly those on the other side of the aisle and even some on my side of the aisle, would not contradict themselves by cutting these programs and cutting housing programs and encroaching upon or using EITC money and counting that against tax credits, and using, fortunately, the management. The manager's rule before the Rules Committee amended many of these things just yesterday and the day before, but hopefully, we'll do what's right and look at this in a holistic way and realize that institutions of higher learning will play a critical role in helping us to redress and ameliorate some of the conditions in our urban areas.

I represent an urban area in Memphis. So I have about five or six universities, community colleges right there. So I relate and, certainly, I'm familiar with many of the issues and challenges you face every day.

I would really take this opportunity to say congratulations. We salute you and, hopefully, we'll do the right thing here in Congress to help you to continue to do the great jobs that you are doing, not only in San Francisco and at the University of Michigan, but hopefully, we won't go on probation this year, and in St. Louis.

Again, thank you, panelists, and I thank the Chairman.

Chairman **McKeon**. Thank you. All of those buzzers mean that we have a vote, and we have come to the end of the questioning. So the timing is good.

We want to thank you for taking the time to be here and for your testimony and, as you heard me say to the other panel, I would encourage you to keep in touch with us. To work with us through this process. It's a big job, and you know a lot more about it than we do, and we would really look forward to your help as we go through the authorization process. Thank you again for being here.

We'll adjourn this panel.

[Whereupon, at 11:25 a.m., the subcommittee was adjourned.]

Appendix A – THE WRITTEN STATEMENT OF THE HON. HOWARD P. "BUCK" MCKEON, A REPRESENTATIVE IN CONGRESS FROM THE STATE OF CALIFORNIA

STATEMENT OF
THE HONORABLE HOWARD P. "BUCK" McKEON,
CHAIRMAN
SUBCOMMITTEE ON POSTSECONDARY EDUCATION,
TRAINING AND LIFE-LONG LEARNING

HEARING ON HR 6,
THE HIGHER EDUCATION AMENDMENTS OF 1998

2175 Rayburn House Office Building
Washington, DC
Thursday, June 26, 1997
9:30 a.m.

Good Morning.

I'd like to welcome the witnesses who have agreed to appear before us. I'd like to extend a special welcome to a fellow Californian, Dr. Richard Corrigan, the President of San Francisco State University.

Today we will hold another of a series of several program specific hearings in Washington, DC, to bring together experts from across the country, and hear their views on the Higher Education Act.

Let me take a moment to describe how I see higher education in the future. I would hope men and women, young and old, will have access to postsecondary education when they need it. Some would go to college for undergraduate or graduate degrees. Others would choose to go to school or go back to school for much shorter periods of time in order to improve or upgrade their skills for a better job and a better future. Many could just take a class or two from home over the Internet. But I want to see every American who so chooses, to have the option of receiving a quality education at an affordable price.

This Subcommittee has jurisdiction over the Higher Education Act, and we have a great deal of work ahead of us. As many of you know, the Higher Education Act is scheduled for reauthorization during the 105th Congress and in general terms, this means the Committee will be making determinations as to the effectiveness of the existing programs, as well as the need for programmatic changes which address specific problem areas. One of our primary focuses throughout the entire process is keeping college affordable for students and families.

We have all heard the concerns of parents and students who are worried about increasing college prices. As a parent of six children, two of whom are currently enrolled in college, I am well aware of what it costs a family to pay the college bills. I am also committed to making college more affordable.

Our job this Congress is to improve on what is already working for students across the country, eliminate programs which are not working and do it all in a way that ensures that precious taxpayer dollars are spent wisely. As we reauthorize the Higher Education Act, our goals will be:

- Making higher education more affordable,
- Simplifying the student aid system, and
- Stressing academic quality.

If we stay true to these principles, we can improve on what is already working for students and families across the country.

Today's hearing will focus on Title III of the Higher Education Act, which exists to strengthen institutions of higher education, and Title IX of the Act, which promotes Community Service activities on the part of institutions of higher education.

Title III, the "Strengthening Institutions" programs, provides the largest source of direct Federal assistance administered by the Secretary of Education to institutions of higher education. These funds are used to enhance academic quality, and to improve the institutional management and the fiscal stability of schools with limited resources which serve economically needy students. I understand that schools are doing a number of innovative things with these funds, and I look forward to hearing about them.

The Urban Community Service provisions of Title IX, which are the only funded provisions in that title, provide incentives to urban schools to enable them to work with private and civic organizations to find and implement solutions to problems within their communities.

Our witnesses all have "hands on" experience with these programs. They have the responsibility for ensuring the smooth functioning of a college or university for the leaders of tomorrow, or making certain that our students receive the financial help they need to pursue a postsecondary education. They are the true experts on higher education, and I look forward to hearing from them.

Appendix B – THE WRITTEN STATEMENT OF DR. ANNE S. MCNUTT, PRESIDENT, TECHINICAL COLLEGE OF THE LOWCOUNTRY, BEAUMONT, SOUTH CAROLINA

Statement of the

American Association of Community Colleges

to the

House Education and the Workforce Subcommittee

on Postsecondary Education, Training and Lifelong Learning

on the

Reauthorization of the Higher Education Act,

Title III, Part A

Presented by

Anne McNutt, President

Technical College of the Lowcountry

Beaufort, SC

U.S. House of Representatives

2175 Rayburn Building

June 26, 1997

9:30 a.m.

Good morning, Chairman McKeon and members of the Subcommittee. I am Anne McNutt, President of the Technical College of the Lowcountry located in Beaufort, South Carolina. I am here representing the views of my institution and those of the American Association of Community Colleges (AACC). AACC represents 1,064 associate degree-granting, regionally accredited, public and private institutions of higher education.

I am pleased to present to you this morning testimony on Title III-A of the Higher Education Act (HEA). This program is small in relation to overall funding for the HEA, but it is responsible for remarkable advances in institutional capacity throughout the country. It is a success story that all too often goes untold, and we commend the Subcommittee for taking the time to focus on this critical program.

The Technical College of the Lowcountry is one of 16 comprehensive community colleges comprising the South Carolina state technical college system. TCL serves a 2,900 square mile rural coastal area in southeastern South Carolina that takes in the stark contrasts of the posh resort of Hilton Head Island and small, economically depressed rural areas. My institution currently has a Title III-A grant. The institution traces its origins to the Mather School established in 1868 to educate the daughters of freed slaves. Today the College serves a diverse student body of over 1,500. In the fall of 1996, the average student age was 39, approximately 65 percent were female, 39 percent minority, and 73 percent attended part time; many were the first in their family to attend college; 35 percent of dependent students come from families who earn less than $12,000; and 61 percent of independent students have incomes less than $10,000.

Rationale/Justification for Strengthening Institutions

Title III-A complements the investment that the federal government makes in providing access to college for needy students through Title IV student aid. Title III does this by enhancing quality at institutions that have relatively few resources and serve high percentages of financially disadvantaged students — colleges that have positive goals and are on the right road, but badly need additional, temporary financial support. By having an integral relationship to Title IV, the Title III-A program has an important affinity with the TRIO programs. In focusing on disadvantaged students and institutions with limited resources, Title III-A is an opportunity program. Currently, over 620,000 minority students are enrolled in Title III-A colleges in 45 states.

Across the country, Title III-A makes a small, relatively short-term investment with a long-term beneficial impact on the quality of the education received by thousands of students. Its purpose is to transform key aspects of institutions that cannot be addressed on an ongoing basis through tuition and, in the case of public and other institutions, state and local support. It enables institutions to concentrate resources on a few selected aspects of their operations. Development Grants average about $340,000 per year, for five years. Institutions must report annually to the Department of Education on the progress they are making on their grants.

While this statement does not focus on the Hispanic-Serving Institutions (HSI) program that is part of Title III-A, AACC also wishes to express its support for that program. Our association is committed to ensuring the vitality of both programs.

Federal Twin Principles of the Strengthening Institutions Program: Local Initiative With Accountability

A central feature of Strengthening Institutions is that it allows an institution to identify its greatest needs, consistent with the purposes of the program, and then structure its grant application accordingly. The program is driven from the local level and not subject to the "top-down" approach in which individuals outside the institution decide what the college needs most. Alternatively, the federal government retains a strong measure of accountability in the program, since an institution must spend funds for the specific purposes stated on its application — this program does not provide general operational support.

The Competitive Nature of Title III-A

The Strengthening Institutions program has been structured on a competitive model that ensures that recipients are highly deserving of funds. Program funds are secured through a two-step process. First, applicants must demonstrate that, for their type of institution, they have below average education and general expenses, and that they serve large percentages of needy students. This latter element is defined in the HEA as having 50 percent or more of the students receiving Title IV aid, or enrolling a relatively high percentage of Pell Grant recipients. If an institution meets these standards it is deemed an "eligible" institution for the purposes of Strengthening Institutions, and may submit a grant application.

Eligible institutions must then undergo an intense competitive process in order to receive awards. The process for this competition is outlined in the statute and requires non-Federal employees who are broadly representative of institutions served by the program to review applications. For the last competition that was held for Part A, 478 eligible institutions submitted applications, and 37 grants, or 7.7 percent of the pool, were awarded funds. This rigorous competition means that only applications richly deserving were funded.

For this competitive process, colleges must analyze their strengths and weaknesses and submit a detailed five-year comprehensive development plan. This plan describes how grant funds will be used to achieve measurable objectives that are fashioned to maximize institutional effectiveness. Requested funds must be shown to have a long-term impact on the college and help increase access and success for underrepresented students. Colleges must have some means of evaluating the impact that funds have on the institution.

Strengthening Institutions Grant Recipients

Grants are awarded to two- and four-year, public and private, non-profit institutions of higher education. In a typical award year, about 70 percent of program funds will be granted to two-year public institutions, with the remainder going to four-year institutions. Title III-A awardees tend to be relatively young, small, institutions that focus on either education in the liberal arts or training students for employment.

Use of Grant Funds

Title III-A grants are used to initiate new activities to enhance the long-term quality and viability of institutions. As mentioned, grants are not to designed to provide support for ongoing operations; in any case, a program so relatively limited in size could not hope to achieve this aim. Rather, the goal of Title III-A is to move institutions in new directions, to add new dimensions to their operations consistent with the general goals of the program. Examples of how Title Strengthening Institutions funds are used are as diverse as American higher education itself:

At TCL, Title III-A has helped strengthen academic programs by a) providing equipment for an interactive multimedia classroom and a multimedia faculty development laboratory, b) providing training for the use of this equipment, and c) developing and offering a new program in Computer Maintenance and Repair. The program has helped TCL develop a Student Information Advisement Center to link student needs with appropriate support services, and the college has strengthened institutional management by implementing a local area network and providing related training for faculty and staff. The funds have made a tremendous difference in enhancing educational opportunities for students and have improved the daily operations of the college.

Napa Valley College in Napa, California, is using its Title III-A grant to focus on three areas of institutional performance: increasing student success and retention, which has resulted in substantial changes in instructional and student services; strengthening institutional capacity for external fund-raising; and developing new institutional information systems, including a decision-support system and student retention tracking. This latter function is oftentimes lacking at community colleges and is becoming increasingly important both to institutions and policymakers wishing to assess institutional performance.

North Shore Community College in Danvers, MA, is employing Title III-A to implement a comprehensive standards and assessment process. The funds have also helped develop an academic support network of assessment, educational planning and counseling, placement, advisement, and student tracking. A new multi-campus information system also has been established with program support.

Camden County College in Blackwood, NJ, has been aided by Title III-A to: develop an institutional effectiveness program that allows the school to demonstrate its effectiveness to stakeholders, particularly business; develop a general education core curriculum; and establish a private fund-raising program. The college expects to continue all of these initiatives when its grant ends late next year.

The Community College of Philadelphia has used Title III-A to focus on improving educational quality and to create a responsive communications environment. Funds have primarily been deployed to automate the library and to develop a college-wide computer communications network. As recently as 1995, only 14 percent of the school's students had used a computer to access on-line services.

Dyersburg State Community College in Dyersburg, TN, is currently using its grant to: establish a foreign language program, with student performance evaluated by faculty from the University of Tennessee; create a Student Success Center with computer tutorials as well as one-on-one peer counseling designed to enhance student success in college level mathematics, English, and science; and engage in a new Funds Management Activity, which has helped add substantial sums to an institutional scholarship pool.

I trust that these examples give the Subcommittee a clearer understanding of why the program is so highly valued by institutions and the students they serve.

AACC Recommendations for Reauthorization of Title III-A:

1) First and most fundamentally, the Strengthening Institutions program should be reauthorized for the full term of the next HEA reauthorization. We recommend authorizing the program at $135 million for FY 1998. This was the authorizing level for the 1992 HEA amendments.

2) Current institutional eligibility criteria for the Strengthening Institutions Program should be retained. However, AACC recommends two changes to the application process:

A. Institutions should be required to undergo a two-year wait-out period between receiving Strengthening Institutions Grants. This will allow recipients to better monitor the effects of program funds, and allow more institutions to receive these cherished awards. We note that if program funding were higher, a two-year wait-out period would not be desirable.

B. Congress should create a two-step application process for Strengthening Institutions. An initial application far shorter than the current one would be used to determine institutional eligibility and the general goals of an institution's grant, as well as how it planned to use the funding. An initial screening could be conducted by ED personnel; once this process was completed, only higher-ranked applicants would be

asked to submit a more comprehensive proposal. This two-step application process could help reduce the tremendous number of man-hours required to prepare and evaluate the voluminous applications.

3) "Acquisitions of high technology equipment" should be added to the list of items for which special consideration is given to applications. This addition will help Title III-A adapt to current institutional needs and priorities. Institutions that lack a basic level of high technology capacity are increasingly unable to provide needed educational experiences to their students.

AACC also supports reauthorization of the Endowment Challenge Grants Program in Part C at a level of $10 million, which is a substantial reduction from current law and reflects current fiscal realities.

Thank you for your consideration of these comments. I would be pleased to answer any questions that Subcommittee members may have.

Appendix C – THE WRITTEN STATEMENT OF MR. ROBERTO MARRERO CORLETTO, CHANCELLOR, UNIVERSITY OF PUERTO RICO AT HUMACAO, HUMACAO, PUERTO RICO

TESTIMONY RELATED TO

THE REAUTHORIZATION OF THE HIGHER EDUCATION ACT OF 1965

SUBMITTED BY
THE UNIVERSITY OF PUERTO RICO

PREPARED BY
DR. NORMAN I. MALDONADO, MD
PRESIDENT

SUBMITTED TO

THE U.S. HOUSE OF REPRESENTATIVES
COMMITTEE ON EDUCATION AND THE WORKFORCE
SUBCOMMITTEE ON POSTSECONDARY EDUCATION, TRAINING AND LIFELONG LEARNING

JUNE 26, 1997

BACKGROUND

Mr. Chairman and distinguished Members of the subcommittee, I want to thank you for allowing the University to share its recommendations on Title III and other matters related to proposed amendments to the Reauthorization of the Higher Education Act of 1965.

As background, let me begin by saying that the University of Puerto Rico, founded in 1903 as a Teachers College, and which later became a land grant institution, is the state university of Puerto Rico and is the largest minority institution of higher education in the United States. It also is one of the largest multi-campus systems in the country, with over 68,000 students, which account for six percent of the Nation's Hispanics enrolled in institutions of higher education. The University encompasses three major campuses, six regional colleges and other units throughout the Island. The UPR is the leading baccalaureate institution of Hispanics who go on to earn their Ph.Ds throughout the United States. Since its inception, the University has graduated more than 250,000 students. Specifically:

- The University of Puerto Rico ranks number one among all U.S.-institutions in terms of the number of Hispanic students that go on to obtain Ph.Ds in science and engineering.

- One in ten students attending the University's largest campus, at Rio Piedras, receive a Bachelors degree in science and go on to obtain Ph.Ds.

- The UPR provides the undergraduate training for over 20 percent of the MDs and Ph.Ds in science, engineering, and mathematics granted to Hispanics in the Nation.

- The University is the largest producer of Hispanic women professionals in the nation. UPR at Mayaguez is the 12th largest engineering school in the Nation and enrolls over 4000 students, of which about 1600 are women.

- Although the population of Puerto Rico is only six percent of the total underrepresented minority population in the Nation, Puerto Rico grants ten percent of all B.S. degrees in the science, engineering and mathematics fields awarded to underrepresented minorities.

No other school in the Nation can boast these statistics. This enormous talent pool of Hispanic students has contributed to the development of the Island, other parts of the Caribbean, and the mainland.

With this as background, we are truly honored to have an opportunity to share our experiences and recommendations with you today regarding Title III. As you know, Hispanic postsecondary enrollment is on the rise -- increasing by over 80 percent since 1980. In 1992, two-thirds of Hispanic students attended Hispanic Serving Institutions, also known as HSIs. This is the fastest growing population in the country. Historically, the institutions of higher education serving this population have faced a multiplicity of issues related to strengthening their institutional capacity. And now that emerging workforce issues require larger numbers of Hispanics to be educated and trained at the college level, ***HSIs are in the precarious position of trying to catch-up and move forward simultaneously. It is in this vein, that Title III support is needed as much as ever.***

Moreover, this is the time, as we stand on the threshold of a new millennium, to reform Title III, so that it will address more effectively these trends, and the distinct needs of HSIs, and the people HSIs serve. There is no doubt about it; Title III plays the most critical role in building and strengthening the capacity of HSIs and other institutions that historically have served disenfranchised and underrepresented populations.

In 1995, 37 out of the 92 HSIs that applied for funding under Title III received an award. Amongst HSIs, the demand for institutional capacity-building assistance is keen. And, it is no wonder, considering the responsibility that these institutions must bear in terms of serving the fastest growing, most undereducated, economically disenfranchised, and underrepresented racial/ethnic group in the country. According to the Hispanic Association of Colleges and Universities (HACU), nationally, there are over 160 HSIs and 63 associate HSIs. These institutions comprise less than 5 percent of all postsecondary education institutions. Yet, they enroll two of every three Hispanics in Higher Education.

TITLE III AND THE UNIVERSITY OF PUERTO RICO EXPERIENCE

As a result of funding the University of Puerto Rico has received under Title III, the University has implemented institution-wide activities that affect all constituencies, including students, faculty, administrators and support staff. Five of the University's 11 campuses receive Title III funding.

For example, at the Humacao Campus of the University of Puerto Rico, Title III funds have been instrumental in the establishment of many of the College's academic and administrative programs, including the Grants Office, Career Center, Academic Honors Program, the Assessment Program and the Audio-Visual Production Center. Clearly, these programs would not have existed had Title III not provided the seed funds. But, with the assistance of Title III the College has been able to:

- Increase its grant funds from approximately half a million per year in the early 80s to $2 million a year in the 90s;
- Provide career orientation, referral and placement services to the entire student population, and enrich curriculum for its gifted students;
- Establish a computer laboratory for faculty and Liberal Arts students;
- Establish a computerized follow-up system for at-risk students;
- Develop classroom and departmental assessment projects; and
- Enrich the presentation of academic content through campus-made audio-visual materials.

At the Arecibo Campus, a two-year college serving the northern part of Puerto Rico, the University has enhanced its ability to serve its predominantly Hispanic, low income students by

developing and implementing projects such as a Career Center, a TV studio for the Telecommunications Department, a laboratory for the Education Department, a new baccalaureate program in computer science, developmental activities in English and mathematics, and incorporation of computers into course curricula. Recently, approximately $1.2 million was awarded for a five-year period to establish a Computerized Writing Laboratory, a Multimedia Laboratory and an Assessment Program.

At the Medical Sciences campus, two major activities are being funded. The first -- ***Implementation of an Electronic Institutional Information System*** -- supports the development of a communication infrastructure throughout the undergraduate programs, student services, and the academic and administrative offices of the College of Health Related Professions. The second initiative -- ***Integration of Technology into the Curriculum of Various Academic Programs*** -- has played a key role in helping to improve the teaching/learning environment through faculty development, and the integration of computer technology into the classroom. This activity provides faculty and students with resources and skills needed to become active participants in the use of computers and information technology. With the $1.3 million awarded to the Medical Sciences Campus to accomplish these activities, the University has completed the installation of a networking infrastructure that covers 12 floors and 4 buildings located on the Medical Sciences Campus, 360 UTP drops and 65 computers.

In addition to improving our physical infrastructure and institutional capabilities, Title III is playing a key role in helping to enhance the island's human infrastructure as well. Under the grant awarded to the Medical Sciences Campus, the University is collaborating with the Puerto Rico Department of Education on a project that assists poor, at-risk students from two public schools. Currently, we are developing testing strategies to improve these children's academic performance, reduce their dropout rates, and increase their interest and chances of pursuing a higher education degree, particularly in the health and allied health science fields.

A final example of Title III-supported efforts underway at The UPR can be found at the Cayey Campus. There, three initiatives are being funded which support (1) the development of institutional assessment capabilities; (2) exploiting the potential of new technologies for academic improvement; and (3) improving support services designed to assure student success. Highlights of the Cayey effort include:

- The coordination and improvement of data gathering and information processing of the College;

- The development of a multi-activities language center to serve as a focus for an innovative English program;

- The adaptation to college seminar and ancillary programs to assure the effective and efficient delivery of appropriate support services such as peer counseling, mentoring, and tutoring; and

- The design and implementation of the Center for the Development of Computer-Based Educational Materials.

During the last eight months, more than 1200 students and faculty have visited and been served by the centers funded under the Cayey award.

RECOMMENDATIONS

With this in mind, the University of Puerto Rico recommends that a minimum of $100 million in increased funding be provided above the President's current projections for Title III. Such an increase would more effectively address the needs of HSIs, and the other Part A and Part B institutions served by Title III. In light of the workforce issues we face as a nation, such an increase should be viewed not as a cost, but as an investment in America's future. Title III institutions serve the very populations that will be needed to maintain our country's competitiveness in the global marketplace. Each category of institution under Title III serves a unique role in meeting the needs of the communities they serve. In this regard, the contributions of Hispanic Serving Institutions, the Part B Historically Black Colleges, and the majority institutions funded under Part A are all valuable and deserve increased support. It is not our goal today to pit one favorite child against the other. We recognize that a rising tide lifts all boats. Therefore, as a general proposition we support a general increase for Title III across the board.

However, in recommending this increase, we also recognize that the Hispanic community has a unique set of issues and challenges related to emerging demographics, language, culture and poverty. In this regard, special, proactive steps must be taken by the committee to ensure that institutions serving this community secure resources and have the capacity to effectively address these challenges. **Specifically, the University of Puerto Rico supports the recommendations and proposed legislative amendments of the Hispanic Educational Coalition (HEC) to the U.S. Hispanic Congressional Caucus calling for greater flexibility in the definition of HSIs and for a new Title III section to support HSIs with graduate and professional programs and a proven record of enrolling Hispanics.** Specifically, we ask the Committee to:

- Repeal the requirement that an additional 25 percent of the Hispanic students enrolled be either low-income and first generation college students;

- Repeal the requirement that 50 percent of the Hispanic students enrolled be first generation college students;

- Repeal the requirement that funding for Title III (Part A) grants be greater than $80 million before any funds are provided to HSI grants;

- Designate the HSIs program as Part C of Title III, with a minimum of $30 million to be appropriated for fiscal years 1998 and beyond; This increase would allow the Department of Education to make more awards to HSIs and would allow them to increase the amount of individual awards; and

- Create a new grants program under the revised Part C of Title III to provide awards to HSIs with graduate and professional programs for activities to expand or improve graduate and professional opportunities for Hispanic Americans, and other students underrepresented in

graduate education. Of the $100 million increase referenced previously, $20 million dollars would be authorized to be appropriated annually for this program.

OTHER MATTERS

The Establishment of the Frank Tejeda Scholarship Program for Teaching Professionals

Last week before this Subcommittee, Secretary Richard Riley expressed his concern about the current level of support for teacher preparation programs. He stated that "our nation faces major challenges in this undertaking, as we will need an additional two million teachers to keep up with student population growth over the next decade," and he went on to state that a number of initiatives were being considered by the Administration in an effort to address the pending shortfall.

Keeping in the spirit of the Secretary's recommendations, the University of Puerto Rico endorses an initiative being developed by Resident Commissioner Romero-Barcelo that would establish the Frank Tejeda Scholarship program for teaching professionals. It would be the first national educational program ever named after a Hispanic leader. Funds would be provided to the States for scholarships that would be awarded to high school students who are proficient in the Spanish language and who want to be teaching professionals. Students receiving a scholarship would be obligated to spend one academic year in a public school where Spanish-speaking students are overrepresented, as defined by the U.S. Department of Education in cooperation with the States for every year that scholarship assistance is provided. In large part, this initiative would be modeled after the Byrd Honors Scholarship Program.

As Congress and the Administration work to enlist more professionals into teaching careers, special attention must be given to the Hispanic community. The establishment of the Frank Tejeda Scholarship Program will play a key role in meeting this objective.

The need for such an initiative is further substantiated by the following:

- Nationally, the proportion of school-age youngsters who are minorities grew from 13 percent to over 30 percent during the last three decades. An increasing number of these students speak languages other than English as their primary language, most notably Spanish.

- The growth of the Hispanic school-age population has been and is projected to be particularly pronounced. Starting from a low of four million children ages 5-17 in 1980, the Hispanic school-age population is projected to increase to 8.8 million by 2005 and to 13.9 million by 2030. Over 90 percent of these students attend school in urban settings.

- While all states are projected to experience some proportional increase in their Hispanic age 0-19 population from 1993 to 2020, the projected increase is large in some states. For instance, Nevada is projected to have a 21.7 percentage point increase (from 16.5 percent to 38.2 percent), New Mexico a 19.5 percent point increase (from 47.9 percent to 67.4 percent increase), Arizona a 17.4 percentage point increase (from 28.5 percent to 45.9 percent), and Texas an increase of 16.3 percentage points (from 35.1 percent to 51.4 percent). With these

increases in the Hispanic school-age population, the demand for teachers who are familiar with Spanish culture and language is particularly acute.

- A 1996 report, from the Council of Great City Schools, titled "The Urban Teacher Challenge" concludes that "the need for teachers of color and language minorities is immediate and pressing . . . [w]hile districts have implemented a wide-range of efforts to address these needs, they also have indicated a need for more information and strategies for improving the quality and diversity of our urban teacher workforce." Of the schools surveyed in that report, over 64 percent indicated that they had an immediate and anticipated demand for bilingual teachers.

- Currently, Hispanics represent 12 percent of the U.S. population, while they represent only 4 percent of the teaching corps, 2 percent of counselors, and 4 percent of the public school administrators.

Recommendations of the Hispanic Association of Colleges and Universities

The President of the University of Puerto Rico, Dr. Norman Maldonado, is a member of the Board of Directors for the Hispanic Association of Colleges and Universities (HACU). Because of our presence on the HACU board we support that organization's recommendations concerning the reauthorization of the Higher Education Amendments, with one exception. The University of Puerto Rico does not support the repeal of the "prior experience" clause for TRIO programs. The repeal of this clause would potentially eliminate programs with a proven track record of success.

Some highlights of the other HACU recommendations, all of which we do support, include:

- Loan forgiveness for individuals, including bilingual teachers who agree to teach in Title I eligible schools;

- Repealing the "hold harmless" provision for institutions that participated in the campus-based aid programs prior to 1985;

- Exemption of HSIs from the cohort default rate restrictions under the HEA;

- Establishing a new authority under FIPSE to develop "innovative methods for ensuring the successful transfer of students from 2-year to 4-year institutions.

- Designating HSIs as eligible institutions for Title I, Part D -- Grants for Academic Libraries and Information Services

Educational Tax Initiatives Presented by President Clinton

The Clinton Administration has proposed a number of innovative educational initiatives as part of its FY98 budget request. These initiatives are a part of the House and Senate Budget Reconciliation bills. Of particular concern to Puerto Ricans, Hispanics generally, and persons from the lower income brackets is the limited reach and applicability of the President's Hope Scholarship proposal.

As you know, the Hope Scholarships make the cost of attending the typical community college free to many Americans by providing a nonrefundable tax credit of up to $1,500 annually for tuition and fee charges for the first two years of postsecondary education and training. Unfortunately, millions of American families, many of whom are minorities or economically disadvantaged will not benefit from this initiative because of minimum income requirements and the absence of tax liabilities. This is particularly so in the case of the Commonwealth of Puerto Rico, which is exempt from paying federal taxes, but which faces tremendous challenges related to securing higher educational opportunities for its residents. Because we pay no federal taxes, we will not be able to participate as beneficiaries of this effort. We ask the committee to review this matter and to adopt provisions during this reauthorization process that would allow Puerto Ricans, other Hispanics, and persons from low-income families to benefit more fully from the national push to make college affordable for ***all*** Americans.

CONCLUSION

Mr. Chairman, this concludes my testimony. I would be pleased to answer any questions.

Appendix D – THE WRITTEN STATEMENT OF DR. FREDERICK S. HUMPHRIES, PRESIDENT, FLORIDA A&M UNIVERSITY, TALLAHASSEE, FLORIDA

Testimony

of

Frederick S. Humphries, Ph.D.

President, Florida A&M University

before the

Subcommittee on Postsecondary Education, Training,

and Life-Long Learning

United States House of Representatives

Committee on Education and the Workforce

On behalf of Florida A&M University,

The Council of 1890 Presidents, Office for

the Advancement of the Public Black College of the

National Association of State Universities and

Land Grant Colleges

June 26, 1997

Testimony of

Frederick S. Humphries, Ph.D.

President, Florida A&M University

More than two decades have passed since I assumed the presidency of an historically black university. And during 10 years at Tennessee State University and now 12 at Florida A&M University, I cannot recall addressing a more important issue---except for that of preserving the autonomy and independence of black institutions--- than the subject before us today.

The Higher Education Act that established the Title III program was a compelling demonstration of governmental power on behalf of educational opportunity for all Americans. The men and women who supported the Title III programs in the beginning and those of you here today----are to be commended for your vision and your commitment to the people of this nation.

For Historically Black Colleges and Universities, Title III has become a symbol of national purpose and national pride. It is recognized as the ultimate equal opportunity act. Title III didn't open doors for predominantly black institutions. It brought those institutions into the circle of support that allowed them to open their own doors, create their own opportunities and lift themselves up by their own bootstraps.

The original legislation was a powerful document that helped fund revolutionary changes in the intellectual and student service environments at historically black institutions. Title III has helped black institutions become more competitive, but it did not level the playing field.

We strongly urge the consideration of amendments to the Higher Education Act in order to address the declining number of African American doctorates in the sciences, engineering and mathematics. The greatest educational imperative of the 21st Century for historically black institutions will be to produce a sufficient number of African Americans who will be involved at the highest levels of scientific and engineering development.

We Cannot Rely on Affirmative Action

The reversal of Affirmative Action programs in higher education has made this already critical problem even more crucial. The states of California and Texas where the enrollment of African Americans in graduate programs have plummeted underscores the need for strengthening graduate programs at HBCUs.

In the state of Florida, where Affirmative Action is part of a university system policy, less than fifty African Americans earned doctorates in all academic disciplines out of a total of 959 in 1994. That appalling figure was produced in a state with a population of more than 2,000,000 African Americans.

Two years later, the total number of doctorates awarded in the State University System of Florida had risen to 1,268 while incredibly, the number of doctorates awarded to African Americans had declined to 41, a decrease of 3.2%. The numbers for African American doctorates in science, engineering and mathematics are just as dismal nationwide.

The FAMU College of Pharmacy and emerging graduate programs in the sciences at HBCUs like Alabama A&M, Morgan State, North Carolina A&T State and others, hold the greatest potential for meeting the needs of aspiring African American scientists, engineers and mathematicians.

The FAMU College of Pharmacy is recognized as having one of the nation's most competitive programs. Last year, for the first time in the history of higher education, an HBCU led all colleges and universities in the Southeast in the competition for research dollars from the National Institutes of Health.

In 1984, the FAMU program was granted permission to award the Ph.D in pharmacy. The first Ph.D was awarded in 1989, and during the past eight years, the FAMU College of Pharmacy has awarded 24 Ph.D degrees, representing more to African Americans than all of the pharmacy Ph.D granting institutions in the nation combined.

This rigorous program demands that its students submit two articles for publication in refereed journals and make two presentations in national or international meetings, as a prerequisite for graduation. All of its masters and Ph.D graduates are highly recruited by private and public institutions looking for outstanding students. I believe the FAMU College of Pharmacy is the best argument for and the best example of what HBCUs can do when given the appropriate resources.

The Historical Imperative of HBCUs

We must never belittle the significance of HBCUs and the roles these institutions have played in the development of this nation. The current funding projections fail to grasp the impact of HBCUs as gateways to opportunity that would be closed without the existence of these institutions.

It is a devastating commentary on our times as we approach the dawn of a new century, that in the case of graduate programs, HBCUs are as critical to African American progress today as they were in the 19th Century. Foreign students, for example, enjoy greater support for graduate opportunities than African Americans.

(Appendix 1) The data reflect a benign neglect toward African Americans in the awarding of Ph.D degrees in all disciplines. In 1994, 43,185 total Ph.D degrees were awarded. Non-residents received 9,406 to just 1,344 for African Americans. However, the disparity becomes even more pronounced when we consider doctorates in engineering and the sciences.

(Appendix 2) This nation presented doctorates in engineering to 2,020 non-residents in 1994. Only 54 were presented to African Americans in that same year.

(Appendix 3) A total of 20,380 Ph.D degrees were awarded in 1994 in the sciences, including the social sciences. More than 20% were awarded to non-residents with less than 3% (442) going to African Americans.

(Appendix 4). When we exclude the social sciences, we see that of the 13,100 doctorates in the sciences in 1994, whites received 7,004 Ph.D.s. while non-residents received 3,606 doctorates. African American received only 170 doctorate in the sciences.

Empower HBCUs with Resources for Ph.D Programs

The best way to rectify this growing national problem is through amendments to the Higher Education Act pertaining to Title III, Part B, Section 326, Strengthening Historically Black Graduate Institutions Program. Empowering black institutions to produce Ph.Ds in the sciences, engineering and mathematics is the most efficient, equitable and productive way to resolve this problem that is so vitally in the nation's interest.

Gaining Strength Through Amendments

The following modifications of Section 326 would send a signal that this nation recognizes the value of historically black institutions and has confidence in their capacity to rise to this challenge.

A. Presidential Flexibility

An amendment to Section 326 that would allow the institution to fund any of its qualified programs rather than have funding restricted to the program named in the 1992 Reauthorization. Florida A&M University, for example, had a Ph.D program only in pharmacy at the time of the 1992 Reauthorization. Consequently, now that we have additional Ph.D programs in engineering, I cannot use Title III funding to support the new Ph.D programs, because the pharmacy Ph.D is the only one identified as the qualified graduate program for funding.

An amendment that would allow the institution to fund any of its qualified programs would provide uniformity in the statute and allow the presidents/chancellors the ability to direct funding in a more productive and efficient manner.

B. Matching Dollars Over $500,000 in Section 326

We ask your support for an amendment that would provide all institutions with $500,000 that would be non-matching dollars. The Title III institutions would then be allowed to compete for the remaining funds in the appropriation for Section 326. This amendment would have no institutional matching grants up to $500,000 but provide for matching dollars on a one-to-one basis for funds over $500,000.

C. Additional Funding for New Institutions

An amendment to admit new institutions with qualified graduate programs must have additional funding as a necessary

condition. The 16 institutions in the program shall be held harmless collectively and not have their funding reduced. New Institutions would be admitted to the program only if additional funding is appropriated by Congress and meet the following criteria:

(1) Provide a program of instruction in the physical or natural sciences, engineering, mathematics or other scientific disciplines in which African Americans are underrepresented;

(2) be accredited by a nationally recognized accrediting agency or association or has been approved by a nationally recognized approving agency; and

(3) have students enrolled in such programs at the time of the application for a grant.

D. Additional Funding for the 1992 Institutions in Section 326

Section 326 needs a higher level of funding even if no new institutions are included in the program. I cannot emphasize more strongly the critical importance of enhancing the capability to

produce larger numbers of African American Ph.Ds in the sciences, engineering and mathematics. The 11 institutions, that were officially admitted to Section 326 in the 1992 Reauthorization, have the greatest capability and the greatest desire to address and increase the production of African American Ph.Ds in these critical areas.

Of the $19.6 million allocated to Section 326 as of 1997, $12 million goes to 5 institutions. Therefore, 11 institutions have only $7.6 million available. Because of the misinterpretation of the matching requirement, these institutions have only received about $500,000 each. This is a paltry sum in light of their value and productivity. I am requesting, then, that the authorizing and the appropriations committees work together to raise these funds to a level where each school could receive minimally $3 million each. Such an effort would reduce the need for these schools to compete against one another for meager amounts. We are talking about a funding level of $48-$50 million as opposed to $20 million. Is this such an impossible task for a rich nation that is in need of persons with doctoral training in science and technology to enhance its competitiveness and world leadership?

E. Endowment Building

An amendment is needed that would permit Part B institutions to use a percentage of their awards for endowment building. Endowments ensure the long term fiscal stability of an institution and reduces dependency on government funding. The raising of private endowment funds presents tremendous difficulties for both public and private historically black institutions. This amendment would provide endowment building assistance for HBCUs if the Endowment Challenge Grant Program is discontinued.

Closing the Science and Engineering Gap

These amendments would strengthen more than the ability of HBCUs to close the gap in the production of African American Ph.Ds in the sciences, engineering and mathematics. It would provide long overdue recognition for overcoming the barriers of benign neglect.

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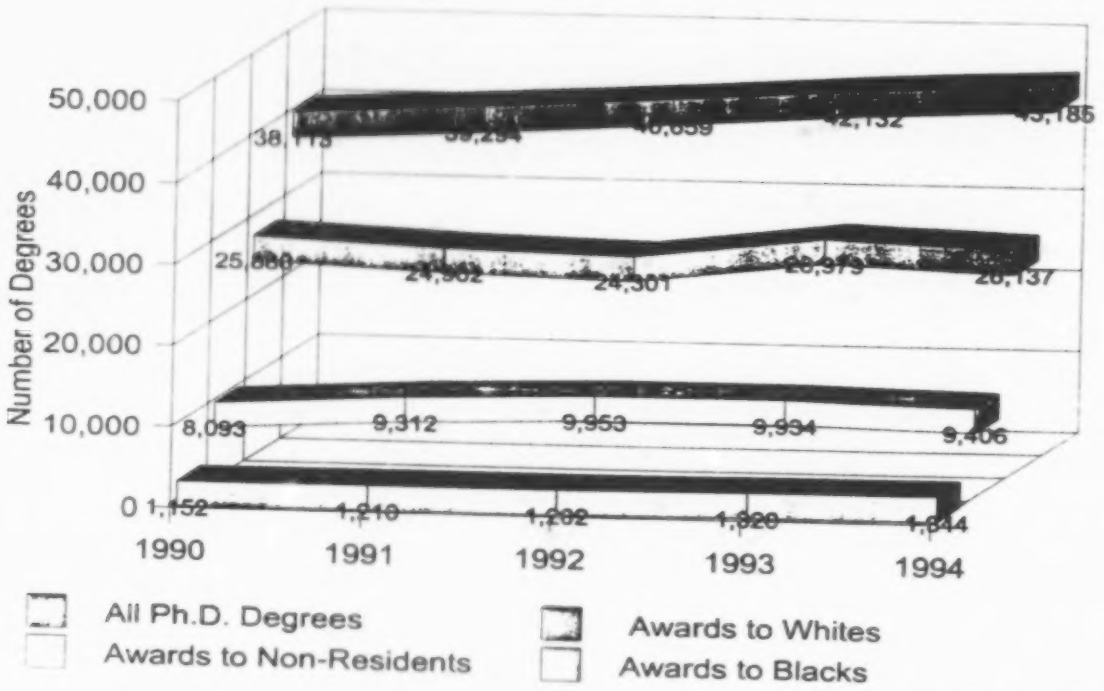
The Reauthorization of the Higher Education Act provides a chance to meet the challenges of a new century with a policy that will address these critical support areas. It is also the best chance we have to level the playing field and let HBCUs compete on an equal footing.

APPENDIX I



Source: NCES: IPEDS SURVEYS

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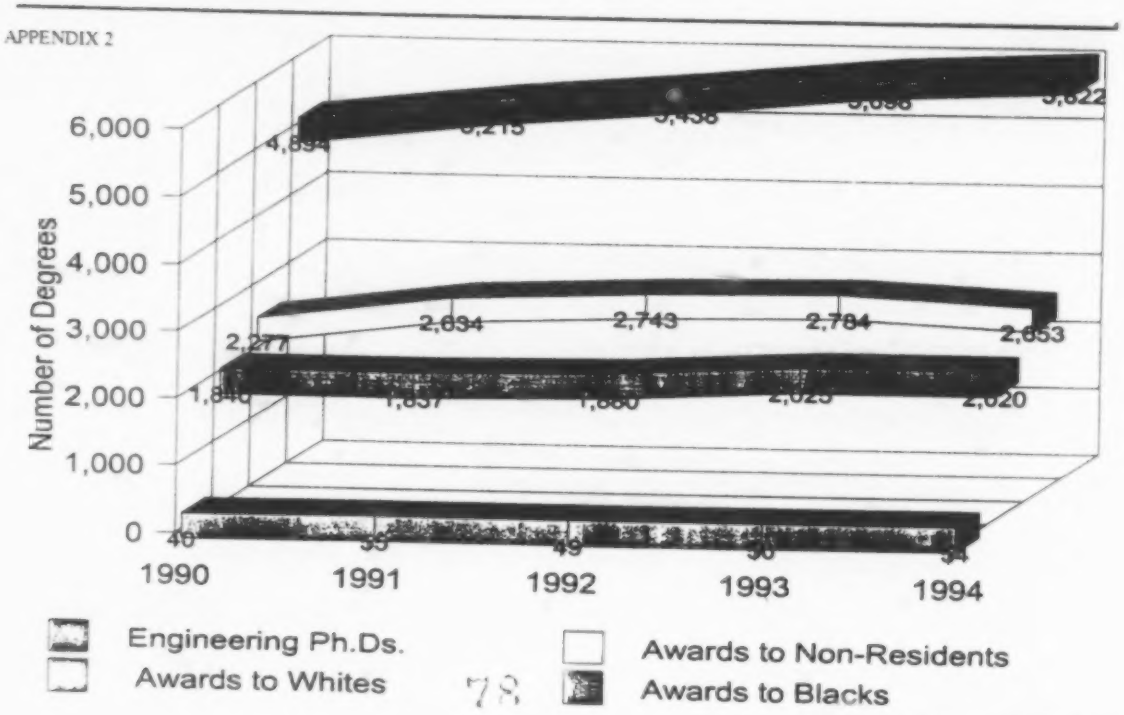
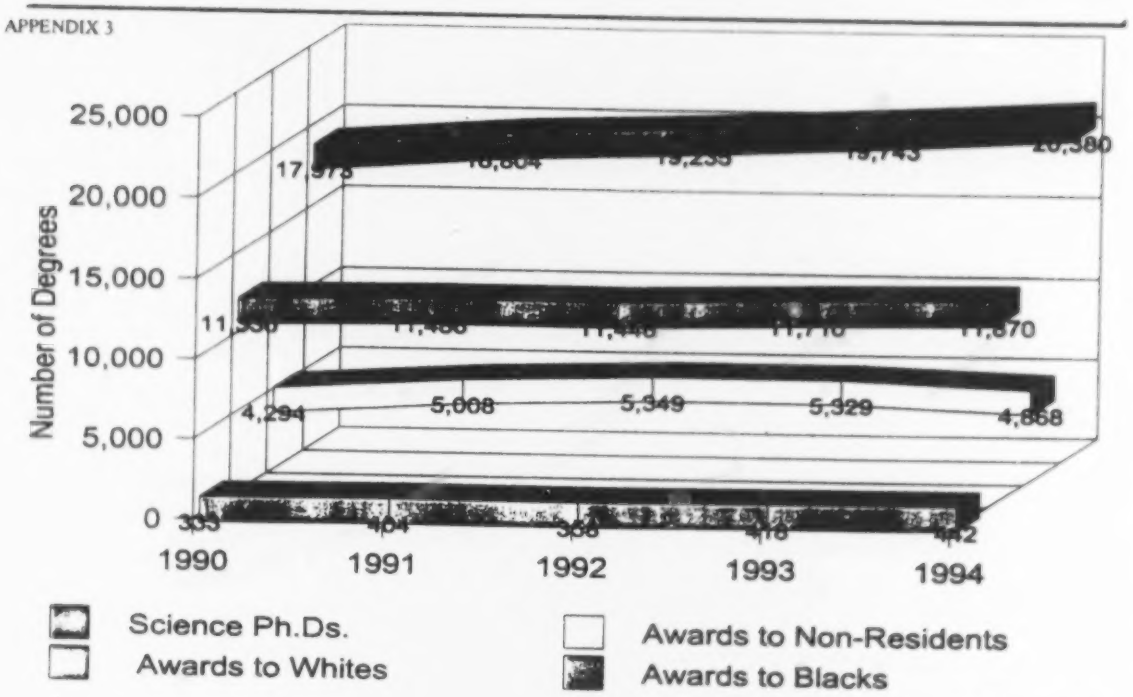
APPENDIX 2



Source: NATIONAL SCIENCE FOUNDATION

APPENDIX 3



Source: NATIONAL SCIENCE FOUNDATION

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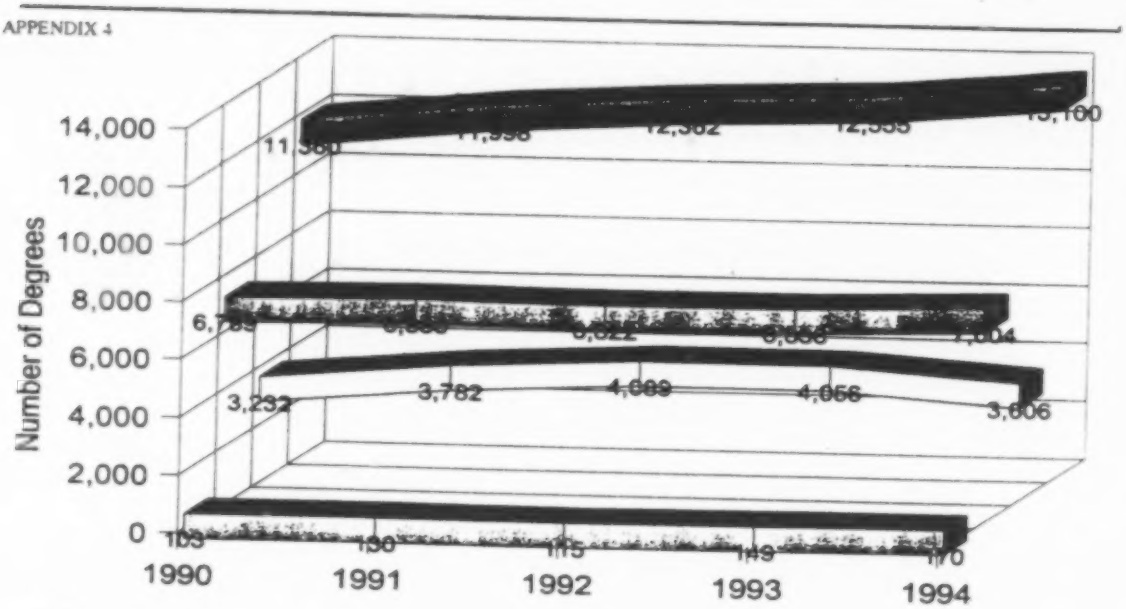
APPENDIX 4



* Social Sciences Excluded

Source: NATIONAL SCIENCE FOUNDATION

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Appendix E – THE WRITTEN STATEMENT OF DR. THOMAS COLE, PRESIDENT, CLARK ATLANTA UNIVERSITY, ATLANTA, GEORGIA

The College Fund / UNCF

A mind is a terrible thing to waste.

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Lemoyne-Owen College
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Miles College
Birmingham, AL
Morehouse College
Atlanta, GA
Morris College
Sumter, SC
Morris Brown College
Atlanta, GA
Oakwood College
Huntsville, AL
Paine College
Augusta, GA
Paul Quinn College
Dallas, TX
Philander Smith College
Little Rock, AR
Rust College
Holly Springs, MS
Saint Augustine's College
Raleigh, NC
Saint Paul's College
Lawrenceville, VA
Shaw University
Raleigh, NC
Spelman College
Atlanta, GA
Stillman College
Tuscaloosa, AL
Talladega College
Talladega, AL
Tougaloo College
Tougaloo, MS
Tuskegee University
Tuskegee, AL
Virginia Union University
Richmond, VA
Voorhees College
Denmark, SC
Wilberforce University
Wilberforce, OH
Wiley College
Marshall, TX
Xavier University

TESTIMONY OF DR. THOMAS W. COLE, JR.

PRESIDENT OF CLARK ATLANTA UNIVERSITY and

CHAIR of THE MEMBER INSTITUTIONAL PRESIDENTS

The College Fund\UNCF

June 26, 1997

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TESTIMONY OF DR. THOMAS W. COLE, JR.
PRESIDENT OF CLARK ATLANTA UNIVERSITY and
CHAIR of THE MEMBER INSTITUTIONAL PRESIDENTS
The College Fund\UNCF

June 26, 1997

GOOD MORNING MR. CHAIRMAN AND MEMBERS OF THE HOUSE SUBCOMMITTEE ON POSTSECONDARY EDUCATION, TRAINING AND LIFELONG LEARNING. I AM THOMAS W. COLE, PRESIDENT OF CLARK ATLANTA UNIVERSITY AND CHAIRMAN OF THE MEMBER PRESIDENTS OF THE COLLEGE FUND\UNCF. CLARK ATLANTA UNIVERSITY IS ONE OF THE LARGEST UNCF INSTITUTIONS AND IS ONE OF ONLY TWO TOTALLY PRIVATE, COMPREHENSIVE, HISTORICALLY BLACK UNIVERSITIES IN THE COUNTRY. WE OFFER PROGRAMS OF INSTRUCTION FROM THE BACHELOR'S DEGREE TO THE DOCTORATE AND AS THE LARGEST INSTITUTION IN THE ATLANTA UNIVERSITY CENTER CONSORTIUM, CLARK ATLANTA HAS A DIVERSE COEDUCATIONAL STUDENT BODY. I APPEAR TODAY ON BEHALF OF UNCF'S MEMBER PRESIDENTS, OUR ALMOST 55,000 STUDENTS, AND OUR THOUSANDS OF ALUMNI, FACULTY AND STAFF.

A BRIEF HISTORY OF TITLE III

LET US LOOK CLOSELY AT PERHAPS THE ONE TRUE MEASURE OF THE FEDERAL GOVERNMENT'S COMMITMENT TO ASSIST THE HISTORICALLY BLACK COLLEGES AND UNIVERSITIES. TITLE III, INSTITUTIONAL AID (FORMERLY DEVELOPING INSTITUTIONS) REPRESENTS ONE OF THE MOST ACCURATE YARDSTICKS OF THE FEDERAL INTEREST IN AND COMMITMENT TO HISTORICALLY BLACK INSTITUTIONS BECAUSE IT WAS/IS THE ONLY DIRECT INSTITUTIONAL ASSISTANCE PROGRAM IN THE FEDERAL PROGRAM ARSENAL OF CATEGORICAL ASSISTANCE. TITLE III HAS BEEN, SINCE 1966, *PERCEIVED* TO BE A BLACK COLLEGE AND UNIVERSITY PROGRAM. THE LONG-HELD VIEW THAT "DEVELOPING" WAS A EUPHEMISM FOR "NEGRO" COLLEGES, IS EVIDENT IN REPRESENTATIVE EDITH GREEN'S REFERENCE IN THE LEGISLATIVE HISTORY OF TITLE III IN WHICH SHE EQUATED "DEVELOPING" WITH RACE (NEGRO):

> I am not sure whether I am directing my question in the right way, but this particular title [title III] was written in my office last year and was a separate piece of legislation. This was not really the purpose of title III, for a cooperative venture among the top 10 but, rather, we conceived it primarily to strengthen the Negro colleges in the South."

THE HIGHER EDUCATION ACT OF 1965 (HEA) INCLUDED THE "DEVELOPING INSTITUTIONS" TITLE FOR BLACK COLLEGES. THE "DEVELOPING INSTITUTIONS" SURROGATE WAS USED, MANY BELIEVE, BECAUSE THE CONGRESS WOULD NOT HAVE ENACTED RACE SPECIFIC LANGUAGE IN 1965. ALONG WITH OTHER LANGUAGE USED TO DESCRIBE THE HBCUs -- SUCH AS 'OUT OF THE MAINSTREAM' AND 'STRUGGLING FOR SURVIVAL' -- THESE VAGUE PHASES CREATED CONTINUING DIFFICULTY FOR THE DEPARTMENT OF EDUCATION (THEN HEW) IN ESTABLISHING INSTITUTIONAL ELIGIBILITY CRITERIA, IN ALLOCATING AND AWARDING FUNDING TO PARTICIPATING INSTITUTIONS, AND IN EVALUATING INSTITUTIONAL PROGRESS IN ACHIEVING INSTITUTIONAL DEVELOPMENTAL GOALS OVER THE YEARS.

PRIOR TO THE 1980 REAUTHORIZATION OF THE HEA, THE TITLE III PROGRAM CAME UNDER ATTACK FOR PROGRAM MISMANAGEMENT, AND UNDER PRESSURE FROM SMALL, PRIVATE PREDOMINANTLY WHITE COLLEGES WHICH SOUGHT ELIGIBILITY FOR THE TITLE III INSTITUTIONAL ASSISTANCE PROGRAM. THE ABSENCE OF CLEAR CRITERIA FOR IDENTIFYING THE TARGET SCHOOLS OR INTENDED BENEFICIARIES ALSO MADE IT DIFFICULT, IF NOT IMPOSSIBLE, TO SUBSTANTIATE THE CLAIM THAT TITLE III WAS ORIGINALLY INTENDED FOR BLACK COLLEGES.

EACH OF THESE ISSUES WAS ADDRESSED IN THE 1986 REAUTHORIZATION OF THE ACT WHEN THE ACT WAS SPECIFICALLY DIVIDED INTO TWO BASIC PARTS -- PART A DETERMINED INSTITUTIONAL ELIGIBILITY BASED ON STUDENT INCOME STATUS, I.E. RECEIPT OF TITLE IV, STUDENT ASSISTANCE, AND PART B, "THE BLACK COLLEGE AND UNIVERSITY ACT," WHICH WAS REMEDIAL IN NATURE, AND DETERMINED HBCU ELIGIBILITY BASED ON AN HISTORIC STATUTORY DEFINITION IN SECTION 322(2) OF THE ACT.

IT IS WORTH NOTING THAT THE DEFINITION IN SECTION 322 (2) DOES NOT UTILIZE RACE PER SE TO DEFINE THE ELIGIBLE PART B INSTITUTIONAL POPULATION, SINCE A NUMBER OF MAJORITY BLACK INSTITUTIONS, I.E. ATLANTA METROPOLITAN COLLEGE, CHICAGO STATE UNIVERSITY, THE CHICAGO CITY COLLEGES, WAYNE STATE UNIVERSITY, WAYNE COUNTY COMMUNITY COLLEGE, COMPTON COMMUNITY COLLEGE, ROXBURY COMMUNITY COLLEGE, AND

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OTHER 'EQUAL OPPORTUNITY INSTITUTIONS' DO NOT MEET THE DEFINITION IN SECTION 322(2) SIMPLY BECAUSE THEY HAVE MAJORITY BLACK STUDENT ENROLLMENTS. ONLY THE HBCUs HAVE SUFFERED INSTITUTIONAL DISCRIMINATION, THUS JUSTIFYING REMEDIAL ASSISTANCE TO OVERCOME DISCRIMINATION IN THE PAST AND PRESENT.

THE CURRENT NEED FOR A CONTINUING FEDERAL COMMITMENT TO HBCUs

ONE MIGHT REASONABLY ASK -- GIVEN THE CURRENT CONCERN ABOUT AFFIRMATIVE ACTION AND THE PREOCCUPATION OF SOME WITH SO-CALLED 'REVERSE DISCRIMINATION' -- WHY SHOULD THE FEDERAL GOVERNMENT CONTINUE DIRECT SUPPORT FOR THE HISTORICALLY BLACK COLLEGES AND UNIVERSITIES? SHOULD THE CONGRESS CONTINUE SPECIAL PROGRAMS DEDICATED TO THIS CATEGORY OF INSTITUTIONS? WE BELIEVE THE ANSWER TO BOTH QUESTIONS IS YES. WE SUGGEST TWO REASONS WHY SPECIAL TREATMENT FOR THIS CATEGORY OF INSTITUTIONS IS JUSTIFIED AND BENEFICIAL.

AT THE OUTSET, IT IS IMPORTANT TO CLARIFY ONE THING: THE NATION'S HISTORICALLY BLACK COLLEGES AND UNIVERSITIES ARE NOT A 1960s AFFIRMATIVE ACTION INSTITUTION/CREATION; RATHER THEY WERE ACADEMIC INSTITUTIONS CREATED BY BOTH THE MAJOR WHITE AND AFRICAN AMERICAN CATHOLIC AND CHRISTIAN DENOMINATIONS TO EDUCATE THE NEWLY-FREED SLAVES. MANY BEGAN AS NORMAL SCHOOLS AND VOCATIONAL INSTITUTIONS -- IN ORDER TO PREPARE FORMER SLAVES FOR INDEPENDENT WORK/ENTREPRENEURSHIP, AND TO DEVELOP HIGH SCHOOL GRADUATES FOR COLLEGIATE STUDY. WILBERFORCE UNIVERSITY IN OHIO (1856) AND LINCOLN UNIVERSITY IN PENNSYLVANIA (1854) TRACE THEIR HISTORY TO THE 1850s, WHILE ALCORN STATE UNIVERSITY IN MISSISSIPPI WAS THE FIRST PUBLIC HBCU ESTABLISHED IN 1871 UNDER THE FIRST MORRILL ACT.

WITH THE EXCEPTION OF HOWARD UNIVERSITY -- WHICH WAS CREATED BY THE FEDERAL GOVERNMENT IN 1867 AND CONTINUES TO RECEIVE SIGNIFICANT FEDERAL RESOURCES -- ALL OF THE PAST AND PRESENT HBCUs WERE CREATED BY CHURCH-RELATED GROUPS OR THE STATES IN WHICH THEY WERE/ARE LOCATED. YOU WILL FIND A COPY OF THE 1995-96 ANNUAL

REPORT OF THE PRESIDENT'S ADVISORY BOARD ON HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (E.O. 12876) ACCOMPANYING MY TESTIMONY. HISTORICAL INFORMATION ON THE ORIGINS OF THE HBCUs CAN BE FOUND AT ATTACHMENT B. IT IS EQUALLY SIGNIFICANT, IN OUR VIEW, THAT HBCUs HAVE NEVER BEEN SEGREGATED INSTITUTIONS. HBCU STUDENT BODIES, FACULTY AND STAFF HAVE BEEN AND CONTINUE TO BE DIVERSE AND REFLECTIVE OF THE HUMAN FABRIC OF AMERICA. EVEN THOUGH HOWARD WAS ESTABLISHED TO EDUCATE NEWLY-FREED SLAVES, FOUR OF ITS INITIAL STUDENTS WERE THE WHITE DAUGHTERS OF FACULTY MEMBERS. ALMOST ALL OF THE ORIGINAL PRIVATE HBCU FACULTY WERE WHITE.

HBCUs ARE THE MAJOR SOURCE OF AFRICAN AMERICAN COLLEGE GRADUATES AND BLACK PROFESSIONALS IN AMERICA

SOME AMERICANS PERCEIVE HISTORICALLY BLACK COLLEGES AND UNIVERSITIES AS AN ANACHRONISM IN A DESEGREGATED SOCIETY, OR AS AN ACADEMIC SHELL OF THE INSTITUTIONS THAT BLOOMED AND FLOWERED IN THE LATE 1800s AND EARLY 1900s. CONTRARY TO THIS MISPERCEPTION, HOWARD UNIVERSITY HAS ENROLLED FOR THE 1997-98 ACADEMIC YEAR 90 NATIONAL ACHIEVEMENT SCHOLARS, WHILE FLORIDA A & M UNIVERSITY HAS LED THE NATION IN RECENT YEARS BY ENROLLING 62 NATIONAL ACHIEVEMENT SCHOLARS IN 1995-96 AND 1996-97. IN 1995, MOREHOUSE COLLEGE PRODUCED THE FIRST AFRICAN AMERICAN STUDENT FROM AN HISTORICALLY BLACK COLLEGE OR UNIVERSITY TO EARN A RHODES SCHOLARSHIP. FROM 1,200 APPLICANTS, IN DECEMBER 1996, MOREHOUSE'S NIMA WARFIELD WAS AWARDED ONE OF ONLY 32 RHODES SCHOLARSHIPS DESIGNATED FOR THE U. S.

HISTORICALLY, BLACK COLLEGES AND UNIVERSITIES ARE CRITICAL TO ADDRESSING THE DISPARITY BETWEEN CAUCASIAN AND AFRICAN AMERICAN COLLEGE-GOING PARTICIPATION RATES. INDEED, HBCUs CAN LAY JUSTIFIABLE CLAIM TO CREATING THE AFRICAN AMERICAN MIDDLE CLASS. THEY EDUCATE AND TRAIN QUALIFIED PROFESSIONALS IN HIGH-DEMAND CAREER AREAS, INCLUDING EDUCATION, MEDICINE, ALLIED HEALTH, SCIENCE AND ENGINEERING AND PUBLIC SERVICE. THEY PRODUCE A HIGH PERCENTAGE OF BLACK PROFESSIONALS, PARTICULARLY IN LAW AND MEDICINE. FOR

EXAMPLE, IN 1994, HBCUs OCCUPIED THE FIRST FOUR PLACES AMONG THE TOP TEN UNDERGRADUATE SCHOOLS SENDING AFRICAN AMERICANS TO AMERICAN MEDICAL SCHOOLS. THOSE INSTITUTIONS WERE XAVIER UNIVERSITY (Louisiana), HOWARD UNIVERSITY, SPELMAN COLLEGE AND MOREHOUSE COLLEGE. THREE OTHER HBCUs -- HAMPTON UNIVERSITY, FLORIDA A & M UNIVERSITY AND TUSKEGEE GAVE HBCUs SEVEN OF THE TOP TWENTY-FIVE! IN 1994, HBCUs CONFERRED 28 PERCENT OF ALL BACCALAUREATE DEGREES EARNED BY AFRICAN AMERICANS, AND MORE THAN ONE-QUARTER OF ALL MASTER'S DEGREES AND DOCTORATES EARNED BY AFRICAN AMERICANS IN PHYSICAL SCIENCES, MATHEMATICS, COMPUTER AND INFORMATION SCIENCES, LIFE SCIENCES, EDUCATION AND THEOLOGY.

THE "PIPELINE" ROLE PLAYED BY HBCUs WAS UNDERSCORED IN A MAY 10, 1997 ARTICLE IN THE WASHINGTON POST. "Xavier's Desk-Side Manner Is Prescription for Med School." THE POST STORY DETAILED THE PERSONAL AND ACADEMIC ACCOMPLISHMENTS OF DWANA LYNCH, FROM OXON HILL HIGH SCHOOL IN NEARBY PRINCE GEORGES COUNTY, MARYLAND. THIS 1997 XAVIER UNIVERSITY GRADUATE WILL JOIN 55 OF HER CLASSMATES IN MEDICAL SCHOOL IN THE FALL OF 1997. MOREOVER, BASED ON THE EXPERINCE OF HER PREDECESSORS AND PEERS, SHE IS ALMOST CERTAIN TO GRADUATE AND BECOME A MEDICAL DOCTOR AS A RESULT OF HER PRE-MEDICAL EDUCATION AT XAVIER UNIVERSITY (A COPY OF THE POST ARTICLE IS ATTACHED FOR THE RECORD)!

OVERALL, THE NUMBER OF AFRICAN AMERICANS WITH DOCTORATES REMAINS LOW. OF THE 27,603 DOCTORATES EARNED BY U.S. CITIZENS IN 1995, ONLY 1,287 WENT TO AFRICAN AMERICANS. BECAUSE OF A DECLINE IN THE NUMBER OF DOCTORATES AWARDED TO AFRICAN AMERICAN MEN, AFRICAN AMERICANS WERE THE ONLY MAJOR ETHNIC GROUP THAT FAILED TO MAKE PROGRESS FROM 1993 TO 1994. UNFORTUNATELY, THIS LACK OF PROGRESS REMAINED LARGELY UNCHANGED FROM 1994 TO 1995. THIS MEANS THAT THE SHORTAGE OF BLACK PROFESSORS ON MAJORITY CAMPUSES IS UNLIKELY TO BE REVERSED IN THE NEAR FUTURE. STATISTICS REVEAL THAT AFRICAN AMERICAN STUDENTS WITH UNDERGRADUATE DEGREES FROM HBCUs ARE MOST LIKELY TO PURSUE ADVANCED DEGREES THAN STUDENTS ATTENDING

OTHER INSTITUTIONS. THE UNIQUE ROLE OF HBCUs IN REDRESSING THE CURRENT IMBALANCE REMAINS A PUBLIC POLICY IMPERATIVE.

THE HBCUs AS A PARTNER IN ACHIEVING THE FEDERAL EQUAL OPPORTUNITY AND POSTSECONDARY ACCESS and SUCCESS GOALS

HAND-IN-HAND WITH INADEQUATE PREPARATION IN MANY LOWER-INCOME AREAS COME VERY REAL AND GROWING PROBLEMS OF PAYING FOR COLLEGE. OVER THE PAST FEW YEARS, STATISTICS HAVE REVEALED SIGNIFICANT INCREASES IN THE COST OF POSTSECONDARY EDUCATION. THUS, THE AVAILABILITY OF FINANCIAL ASSISTANCE HAS BECOME A CRUCIAL FACTOR IN THE COLLEGE ACCESS AND SUCCESS PROCESSES. CURRENTLY, 51 PERCENT OF ALL COLLEGE STUDENTS RECEIVE SOME KIND OF FINANCIAL AID, AND THE NUMBER OF AFRICAN AMERICAN STUDENTS RECEIVING FINANCIAL ASSISTANCE IS EVEN HIGHER.

AS MANY AS 90 PERCENT OF STUDENTS AT HBCUs NEED SOME FINANCIAL AID, INCLUDING INSTITUTIONAL AND OTHER SCHOLARSHIPS, LOANS, WORK-STUDY ASSISTANCE, AND GRANTS. ABOUT 70 PERCENT OF THOSE STUDENTS BENEFIT FROM FEDERAL FINANCIAL AID PROGRAMS. SINCE 1976, THERE HAS BEEN A DRAMATIC SHIFT IN FEDERAL PROGRAMS FROM OUTRIGHT GRANTS TO LOANS. IN 1975-76, 79 PERCENT OF FEDERAL AID WAS IN GRANTS AND 17 PERCENT IN LOANS. IN 1994-95, THE NUMBERS SHOW ONLY 41 PERCENT IN GRANTS, AND 53 PERCENT IN LOANS. ALTHOUGH OTHER SOURCES OF FINANCING A COLLEGE EDUCATION, SUCH AS PARENTAL INCOME AND STUDENT SAVINGS, MAY BE READILY AVAILABLE TO SOME STUDENTS, HBCUs GENERALLY TEND TO ENROLL LOWER-INCOME AND MIDDLE INCOME STUDENTS, CAUSING FEDERAL FINANCIAL AID POLICIES TO HAVE A TREMENDOUS IMPACT THERE.

THE EXTRAORDINARY DEPENDENCE OF HBCU STUDENTS ON FEDERAL FINANCIAL AID, EXACERBATED BY THE SHIFT IN THE TYPE OF AID PROVIDED TO STUDENTS FROM GRANTS TO LOANS, AND THE EROSION OF THE PURCHASING POWER OF PELL GRANTS (-40 PERCENT IN 20 YEARS), MAY HAVE THREE NEGATIVE IMPACTS ON HBCUs. FIRST, LOWER-INCOME STUDENTS ARE BORROWING MORE IN ORDER TO ENROLL IN COLLEGE. SINCE DISPROPORTIONATE NUMBERS OF THESE STUDENTS ENROLL AT OUR

INSTITUTIONS, HBCUs TEND TO BE CHARACTERIZED BY HIGH STUDENT INDEBTEDNESS, HIGHER LEVELS OF STUDENT ATTRITION (DUE TO FAMILY FINANCIAL CIRCUMSTANCES), AND HIGHER THAN AVERAGE INSTITUTIONAL COHORT DEFAULT RATES.

SECOND, THE CONFLUENCE OF THESE THREE FACTORS EXPOSES HBCUs TO INCREASED SCRUTINY BY THE DEPARTMENT OF EDUCATION, REGIONAL ACCREDITING BODIES, AND OTHER FEDERAL, STATE AND PRIVATE OVERSIGHT AGENCIES. REDUCING STUDENT ATTRITION IS CRITICAL TO PRESERVING THE MISSION AND ROLE OF HBCUs, AND TO CONTINUING TO EXPAND POSTSECONDARY EDUCATIONAL OPPORTUNITIES FOR ALL LOW AND MIDDLE INCOME STUDENTS.

THIRD, STUDENT DEBT COMPLICATES AND DISCOURAGES GRADUATE AND PROFESSIONAL SCHOOL PURSUIT AND CAREER OPTIONS AFTER GRADUATION. SUCH DEBT INHIBITS ALUMNI CONTRIBUTIONS. UNCF BELIEVES THAT UNDERGRADUATE STUDENT DEBT IS THE LARGEST SINGLE FACTOR NEGATIVELY IMPACTING THE MATRICULATION OF MINORITY STUDENTS INTO THE NATION'S GRADUATE AND PROFESSIONAL SCHOOLS. UNDERGRADUATE DEBT IS EXACERBATED BY THE REDUCED AVAILABILITY OF FEDERAL GRADUATE FELLOWSHIPS, BY THE LACK OF SUFFICIENT GRADUATE ASSISTANTSHIPS AVAILABLE FROM THE INSTITUTIONS, AND BY THE UNPARALLELED GROWTH IN BORROWING AMONG GRADUATE STUDENTS.

AFRICAN AMERICAN FAMILIES HAVE LOWER MEDIAN INCOMES THAN THEIR WHITE, NON-HISPANIC COUNTERPARTS. THE REAL MEDIAN BLACK FAMILY INCOME IN 1993, ($21,550) WAS ONLY 55 PERCENT OF THE REAL MEDIAN WHITE FAMILY INCOME ($39,310). IN 1993, OVER ONE-THIRD OF THE STUDENTS ATTENDING UNITED NEGRO COLLEGE FUND (UNCF) COLLEGES AND UNIVERSITIES, FOR EXAMPLE, CAME FROM FAMILIES WITH ANNUAL INCOMES OF LESS THAN $25,000 PER YEAR. SIMILAR FIGURES REFLECT THE FAMILY INCOME LEVELS OF STUDENTS AT PUBLIC HBCUs. AT THE CRITICAL POINT WHERE ACADEMIC POTENTIAL AND MOTIVATION MEET COLLEGE COSTS AND FAMILY RESOURCES, HISTORICALLY BLACK COLLEGES INTERVENE TO ENSURE ACCESS AND SUCCESS.

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AT PUBLIC HBCUs, THE ACTUAL COST OF EDUCATION TO A STUDENT IS SUBSIDIZED BY THE STATE. IN THE CASE OF MOST PRIVATE INSTITUTIONS, THE REAL COST IS SUBSIDIZED BY THE COLLEGE FUND/UNCF AND ALUMNI CONTRIBUTIONS OR GIFTS. UNCF SUPPORTS 39 PRIVATE, HISTORICALLY BLACK COLLEGES THROUGH LOCAL FUND RAISING EVENTS, CORPORATE CONTRIBUTIONS AND A NATIONAL TELETHON. ALTHOUGH PRIVATE HBCUs RECENTLY REPORTED MINOR TUITION, ROOM AND BOARD AND MANDATORY FEE INCREASES, THEY STILL REMAIN LESS THAN HALF THE COST OF THEIR MAJORITY COUNTERPARTS. FROM 1992-93 TO 1993-94, THE AVERAGE COST OF TUITION AND FEES AT UNCF INSTITUTIONS ROSE $353 OR 6.9 PERCENT. THIS INCREASE WAS MUCH LESS THAN THE INCREASE OF $527 AT ALL FOUR-YEAR COLLEGES OR THE $545 INCREASE AT PRIVATE COLLEGES IN THE SOUTH. FURTHER, THE $9,197 AVERAGE INSTITUTIONAL COSTS (TUITION AND FEES, ROOM AND BOARD, AND BOOKS AND SUPPLIES) OF ATTENDING A UNCF COLLEGE IN 1993-94 WERE CONSIDERABLY LESS THAN THE AVERAGE NATIONAL PRIVATE FOUR-YEAR COLLEGE COST OF $15,604 AND THE AVERAGE PRIVATE SOUTHERN FOUR-YEAR COLLEGE COST OF $13,436.

EXPENDITURE PATTERNS OF PRIVATE AND PUBLIC HBCUs ON INSTRUCTION ARE COMPARABLE TO THOSE OF OTHER INSTITUTIONS. HOWEVER, PUBLIC HBCUs SPEND A HIGHER PROPORTION OF FUNDS ON STUDENT SERVICES AND INSTRUCTIONAL SUPPORT THAN DO OTHER PUBLIC INSTITUTIONS. IN GENERAL, HBCUs SPEND LESS ON RESEARCH BUT MORE ON INSTITUTIONAL SUPPORT THAN DO OTHER INSTITUTIONS.

THE STATUS OF MINORITIES IN HIGHER EDUCATION -- UNDERGRADUATE AND GRADUATE/PROFESSIONAL EDUCATION

AS A GROUP, STUDENTS OF COLOR HAVE ACHIEVED PROGRESS IN THE NUMBER OF ASSOCIATE DEGREES, BACHELOR DEGREES MASTERS, AND PROFESSIONAL DEGREES RECEIVED. MINORITIES EARNED 16.8 PERCENT OF ALL BACHELOR'S DEGREES CONFERRED IN 1994, AN INCREASE OF 1.2 PERCENT FROM 1993. HOWEVER THEY ACCOUNTED FOR 22.3 PERCENT OF ALL FOUR-YEAR UNDERGRADUATE STUDENTS. THIS DISCREPANCY INDICATES THAT MINORITY REPRESENTATION AMONG DEGREE RECIPIENTS STILL REMAINS SIGNIFICANTLY BELOW MINORITIES' SHARE OF TOTAL FOUR-YEAR UNDERGRADUATE ENROLLMENTS.

COLLEGE ENROLLMENT AMONG AFRICAN AMERICANS HAS INCREASED BY 18.2 PERCENT SINCE 1990, AND IN 1995, AFRICAN AMERICANS REPRESENTED 10.3 PERCENT OF ALL COLLEGE STUDENTS, UP FROM 9 PERCENT IN 1990. THESE INCREASES, HOWEVER, WERE THE SMALLEST AMONG THE FOUR MAJOR ETHNIC GROUPS (AFRICAN AMERICAN, AMERICAN INDIAN, ASIAN AMERICAN, AND HISPANIC) IN 1995.

WITH RESPECT TO GRADUATE EDUCATION, THE 1980s SAW A SUBSTANTIAL INCREASE IN THE NUMBER OF PROGRAMS ESTABLISHED AT GRADUATE SCHOOLS TO RECRUIT AND RETAIN MINORITY STUDENTS. THESE PROGRAMS INCLUDED COMPONENTS LIKE ACADEMIC SUPPORT, FINANCIAL SUPPORT AND STUDENT SERVICES. THE 1990s HAD BEGUN TO SEE SOME MODEST GAINS FOR THOSE RECRUITMENT EFFORTS, HOWEVER THERE IS CAUSE FOR CONCERN. MINORITIES ACCOUNTED FOR 14.8 PERCENT OF ENROLLMENTS AT THE GRADUATE LEVEL IN 1994, AND ONLY EARNED 13.2 PERCENT OF ALL MASTER'S DEGREES AWARDED. FURTHERMORE, OF THE 27,603 DOCTORAL DEGREES AWARDED TO U.S CITIZENS IN 1995, MINORITIES RECEIVED ONLY 3,489. A DIFFERENCE OF 24,114.

THE NEGATIVE IMPACT OF HOPWOOD, PODBORESKY AND CALIFORNIA PROPOSITION 209 ON MINORITY ACCESS TO HIGHER EDUCATION

THE CURRENT IMPETUS BEHIND SEVERAL INITIATIVES TO ELIMINATE AFFIRMATIVE ACTION POLICIES, AS WELL AS RACE-BASED SCHOLARSHIP PROGRAMS, HAVE SIGNIFICANTLY IMPACTED MINORITY ACCESS TO HIGHER EDUCATION. IN TWO APPELLATE COURT DECISIONS OVER THE PAST TWO YEARS, RACE-BASED ADMISSIONS PRACTICES AND RACE-SPECIFIC SCHOLARSHIPS HAVE BEEN HELD UNCONSTITUTIONAL. THE PODBERESKY V. KIRWAN DECISION BY THE FOURTH CIRCUIT COURT OF APPEALS, AND THE HOPWOOD V. TEXAS HOLDING IN THE FIFTH CIRCUIT HAVE HAD A CHILLING EFFECT ON THE ABILITY OF PUBLIC INSTITUTIONS TO CONTINUE SERVING THE NEEDS OF DISADVANTAGED STUDENTS.

POINTEDLY, THE UNIVERSITY OF TEXAS AT AUSTIN'S LAW SCHOOL, WHOSE ADMISSIONS POLICIES AND PRACTICES WERE THE SUBJECT OF THE HOPWOOD DECISION, EXPECTS TO ADMIT 1,000 STUDENTS IN 1997-98. BY

APRIL OF THIS YEAR, OF THE 791 STUDENTS ACCEPTED TO THE INSTITUTION, ONLY 5 WERE AFRICAN-AMERICAN AND 18 WERE MEXICAN-AMERICAN. IN THE FALL OF 1996, 65 BLACKS AND 70 MEXICAN-AMERICANS WERE ADMITTED TO THE LAW SCHOOL. SIMILARLY, APPLICATIONS FOR UNDERGRADUATE ADMISSIONS FELL 24 PERCENT FOR AFRICAN AMERICAN STUDENTS AND 22 PERCENT FOR HISPANIC STUDENTS.

THE EFFECTS OF LEGISLATION AIMED AT ELIMINATING AFFIRMATIVE ACTION PROGRAMS ARE ALSO BEING DOCUMENTED. AS PRESIDENT CLINTON MENTIONED IN HIS ADDRESS AT THE UNIVERSITY OF CALIFORNIA AT SAN DIEGO, LAWS SUCH AS PROPOSITION 209 WHICH BAR RACIAL PREFERENCE AS IT RELATES TO UNIVERSITY ADMISSIONS AND HIRING, HAVE CAUSED MINORITY ENROLLMENTS AT LAW SCHOOLS AND OTHER GRADUATE PROGRAMS TO SIGNIFICANTLY DECLINE. UCLA'S LAW SCHOOL, FOR EXAMPLE, HAS ONLY SELECTED 21 BLACK STUDENTS FOR NEXT FALL'S CLASS -- AN 80 PERCENT DECLINE FROM LAST YEAR AND THE LOWEST NUMBER OF AFRICAN AMERICANS OFFERED ADMMISSION SINCE 1970. THE DECLINE AMONG HISPANIC-AMERICAN STUDENTS IS SIMILAR.

DESPITE THE UNDENIABLE PROGRESS THAT HAS BEEN MADE IN EQUALIZING EDUCATIONAL OPPORTUNITY IN AMERICA, IT REMAINS A FACT OF AMERICAN LIFE THAT **RACE, NATIONAL ORIGIN, COLOR, RELIGION AND GENDER** CONTINUE TO BE SIGNIFICANT BARRIERS TO EQUAL OPPORTUNITY IN HIGHER EDUCATION. THE FEDERAL GOVERNMENT'S LEGITIMATE EFFORTS TO EQUALIZE OPPORTUNITY AT THE UNDERGRADUATE AND GRADUATE/PROFESSIONAL SCHOOL LEVELS **MUST CONTINUE -- UNTIL EVERY CHILD REGARDLESS OF RACE, COLOR, FAMILY INCOME OR GENDER IS ABLE TO RECEIVE THE SAME QUALITY OF ELEMENTARY AND SECONDARY SCHOOLING -- REGARDLESS OF WHERE THEY LIVE OR THEIR PARENT'S INCOME!**

ALTHOUGH MOST COLLEGE PRESIDENTS AND MANY OF OUR FACULTY WOULD PREFER TO FOCUS ON OUR MAIN MISSION OF PREPARING YOUNG MEN AND WOMEN FOR THE WORLD OF WORK AND THE CHALLENGES OF 21ST CENTURY HUMAN ENDEAVORS, WE RECOGNIZE THAT WE ARE OFTEN **COMPELLED** TO CORRECT THE EDUCATIONAL DEFICITS IN SOME OF OUR STUDENTS **BEFORE** WE CAN PERFORM THE FUNCTIONS OF THE ACADEME.

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THE COLLEGE FUND\UNCF RECOMMENDATIONS FOR REAUTHORIZATION OF TITLE III AND TITLE IX

WHILE THE HBCU COMMUNITY HAS NOT YET ACHIEVED TOTAL CONSENSUS WITH RESPECT TO ITS RECOMMENDATIONS FOR TITLE III, THE COLLEGE FUND UNCF PRESIDENTS HAVE ADOPTED THEIR RECOMMENDATIONS FOR TITLE III, PART A AND B -- AND I AM PREPARED TO SHARE OUR VIEWS WITH RESPECT TO BOTH PARTS A AND B, AS WELL AS SECTION 326. THERE IS CONSENSUS IN THE HBCU COMMUNITY ON LIMITING OUR RECOMMENDATIONS WITH RESPECT TO TITLE III BECAUSE THE PROGRAM IS WORKING WELL, AND SHOULD BE REAUTHORIZED WITH ONLY MODEST CHANGES.

FIRST, UNCF RECOMMENDS THAT THE LIST OF AUTHORIZED ACTIVITIES IN SECTION 323 OF THE ACT BE MODIFIED TO AUTHORIZE ANY PART B INSTITUTION TO USE UP TO TWENTY (20) PERCENT OF THEIR PART B ALLOCATION FOR ENDOWMENT BUILDING PURPOSES, PURSUANT TO THE PROVISIONS OF PART C, ENDOWMENT CHALLENGE GRANT PROGRAM.

SECOND, UNCF BELIEVES THE DEPARTMENT'S CURRENT INTERPRETATION OF THE "MATCHING" REQUIREMENT FOR SECTION 326 GRANTS IGNORES THE LEGISLATIVE INTENT OF CONGRESS, AND ACTUALLY RESULTS IN DISCOURAGING INSTITUTIONAL MATCHING OF FEDERAL ALLOCATIONS. COMMON SENSE DICTATES THAT: (1) SINCE THE INITIAL $500,000 AWARDED TO SECTION 326 GRADUATE AND PROFESSIONAL SCHOOLS/PROGRAMS NEED NOT BE "MATCHED;" (2) IT IS INTERNALLY INCONSISTENT AND SELF-DEFEATING OF THE PURPOSE OF REQUIRING AN INSTITUTIONAL "MATCH" TO INSIST THAT A GRADUATE OR PROFESSIONAL SCHOOL MUST "MATCH" NOT ONLY THE AMOUNT IT SEEKS ABOVE $500,000, BUT ALSO THE INITIAL $500,000 AS WELL! WE URGE CONGRESS TO CLARIFY THIS MATTER IN THE 1998 REAUTHORIZATION LEGISLATION.

THIRD, UNCF BELIEVES THAT THE CURRENT DEFINITION OF "QUALIFIED GRADUATE PROGRAM" IN SECTION 326(e)(2) SHOULD BE RETAINED AND ANY NEW HBCU GRADUATE OR PROFESSIONAL PROGRAMS ADMITTED TO SECTION 326 MUST MEET THE EXISTING STATUTORY DEFINITION. UNCF WELCOMES NEW INSTITUTIONS OR "PROGRAMS" THAT SHARE THE COMMUNITY OF INTERESTS

AMONG THE CURRENT SIXTEEN HBCU GRADUATE AND PROFESSIONAL SCHOOLS AND PROGRAMS. UNCF STRONGLY SUPPORTS A "HOLD-HARMLESS" THAT ENSURES THAT CURRENT PARTICIPANTS DO NOT EXPERIENCE A REDUCTION IN THEIR AWARDS WHEN NEW SCHOOLS/PROGRAMS ARE ADMITTED TO SECTION 326.

FOURTH, UNCF ALSO RECOMMENDS A ROLLING "HOLD-HARMLESS" THAT PROTECTS EACH INSTITUTIONAL ALLOCATION -- AS LONG AS THE SECTION 326 APPROPRIATION IS NOT REDUCED, AND THE INSTITUTION CONTINUES TO "MATCH" AT THE PREVIOUS YEAR'S LEVEL. IF CONGRESS AND THIS COMMITTEE AGREE, THE EXISTING "HOLD-HARMLESS" FOR THE ORIGINAL FIVE HBCU GRADUATE AND PROFESSIONAL SCHOOLS COULD BE DELETED. THE NEW HOLD-HARMLESS WOULD ALLOW EACH INSTITUTION TO ADOPT ITS ANNUAL BUDGET AND TO MAKE FISCAL PLANS WITH THE KNOWLEDGE THAT THE SECTION 326 FUNDING WOULD BE AVAILABLE.

FIFTH, UNCF BELIEVES THAT THE PROVISION IN SECTION 326(e)(4) SHOULD BE AMENDED TO PERMIT THE PRESIDENT OR CHANCELLOR OF THE INSTITUTIONS TO DETERMINE WHICH PROFESSIONAL SCHOOL OR "QUALIFIED GRADUATE PROGRAM" SHOULD RECEIVE THE SECTION 326 ALLOCATION.

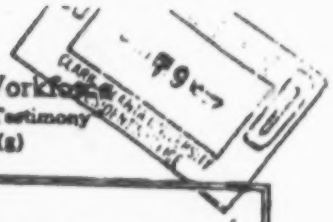
FINALLY, LET ME MAKE ABSOLUTELY CLEAR THAT UNCF STRONGLY SUPPORTS INSTITUTIONAL ACCOUNTABILITY FOR TITLE III AND OTHER PUBLIC FUNDS PROVIDED TO OUR INSTITUTIONS DIRECTLY (THROUGH PROGRAMS LIKE TITLE III), AS WELL AS INDIRECTLY, THROUGH THE TITLE IV, STUDENT ASSISTANCE PROGRAMS. WE BELIEVE THE GRANTS RECEIVED BY OUR MEMBER INSITTUTIONS, AND OTHER HBCUs AS WELL, SHOULD BE MONITORED AND OUR PROGRESS EVALUATED. UNCF SUPPORTS REGULAR AND THOROUGH SCRUTINY OF THE TITLE III PROGRAM -- BY COMPETENT PROFESSIONALS, KNOWLEDGEABLE ABOUT HBCUs, HISPANIC-SERVING INSTITUTIONS, TRIBAL COLLEGES AND UNIVERSITIES AND OTHER INSTITUTIONAL BENEFICIARIES OF TITLE III ASSISTANCE. WE HAVE SERIOUS RESERVATIONS, HOWEVER, ABOUT THE TITLE III STUDY/EVALUATION CONTRACTED WITH MATH-TECH BY THE U.S.DEPARTMENT OF EDUCATION. OUR CONCERN IS HEIGHTENED BY THE LACK OF KNOWLEDGE IN THE CONTRACTOR OF TITLE III INSTITUTIONS, IN GENERAL, AND HBCUs AND OTHER MINORITY-

SERVING INSTITUTIONS, IN PARTICULAR. THIS LACK OF KNOWLEDGE AND EXPERIENCE IS PARTLY REFLECTED IN MATH-TECH'S ATTEMPTS TO DEVELOP A SINGLE-SET OF CRITERIA TO EVALUATE PROGRAM SUCCESS, DESPITE THE FACT THAT EACH PART B INSTITUTION HAS DEVELOPED ITS OWN LONG RANGE OR STRATEGIC PLAN, AND IS USING THAT PLAN IN IMPLEMENTING ITS INSTITUTIONAL DEVELOPMENT STRATEGY.

IN SUMMARY, LET ME INDICATE THAT THE NATION FACES AN IMMENSE CHALLENGE -- IN EXPANDING THE POOL OF MINORITIES ENTERING GRADUATE AND PROFESSIONAL SCHOOL, AND COMPLETING THEIR STUDIES AND ENTERING PROFESSIONAL SERVICE IN CRITICAL FIELDS AND UNDERSERVED COMMUNITIES. IN ADDITION TO INCREASING MINORITY REPRESENTATION IN MEDICINE AND ALLIED HEALTH, LAW, AND THE PHYSICAL AND NATURAL SCIENCES BY STRENGTHENING HBCU GRADUATE AND PROFESSIONAL INSTITUTIONS -- UNCF ALSO BELIEVES THAT TWO OTHER PROGRAMS WHICH SUSTAIN AND INCREASE THE NUMBER OF MINORITIES IN THE GRADUATE AND PROFESSIONAL PIPELINE MUST BE REVIEWED AND REVIVED.

INCREASING DIVERSITY IN THE HIGHER EDUCATION PROFESSORIATE (THROUGH THE PATRICIA ROBERTS HARRIS FELLOWSHIP PROGRAM) AND SUSTAINING ACCESS TO LAW SCHOOL STUDY FOR LOW INCOME AND DISADVANTAGED YOUNG MEN AND WOMEN (THROUGH A REVISED CLEO/THURGOOD MARSHALL LEGAL EDUCATIONAL OPPORTUNITY PROGRAM) ARE CRITICAL. ATTACHED TO MY TESTIMONY ARE UNCF's RECOMMENDATIONS FOR THESE GRADUATE AND PROFESSIONAL STUDY PROGRAMS.

I WOULD BE MORE THAN HAPPY TO ANSWER ANY QUESTIONS REGARDING UNCF'S TITLE IIIB AND SECTION 326 LEGISLATIVE PROPOSALS, AS WELL AS OUR RECOMMENDATIONS AFFECTING GRADUATE FELLOWSHIPS, AND THE THURGOOD MARSHALL LEGAL EDUCATIONAL OPPORTUNITY PROGRAM.



Committee on Education and the Workforce

Witness Disclosure Requirement - "Truth in Testimony"
Required by House Rule XI, Clause 2(g)

Your Name: Thomas W. Cole, Jr.		
1. Are you testifying on behalf of a Federal, State, or Local Governmental entity?	Yes	No X
2. Are you testifying on behalf of an entity other than a Government entity?	Yes X	No
3. Please list any federal grants or contracts (including subgrants or subcontracts) which you have received since October 1, 1994: TRIO (Upward Bound, Math-Science Upward Bound, Talent Search, Student Support Services) Title III, Part B, Institutional Aid and Section 326. Title VI, International Education (Subcontract from UNCF-IIPP)		
4. Other than yourself, please list what entity or entities you are representing: Clark Atlanta University and The College Fund/UNCF		
5. If your answer to question number 2 is yes, please list any offices or elected positions held or briefly describe your representational capacity with the entities disclosed in question number 4: Chairman, The Member Institutions - The College Fund/UNCF (serve as presiding officer and principal spokesperson for UNCF Member Presidents)		
6. If your answer to question number 2 is yes, do any of the entities disclosed in question number 4 have parent organizations, subsidiaries, or partnerships to the entities for whom you are not representing?	Yes	No X
7. If the answer to question number 2 is yes, please list any federal grants or contracts (including subgrants or subcontracts) which were received by the entities listed under question 4 since October 1, 1994, including the source and amount of each grant or contract: See Response to questions 3.		

Signature: _____ Date: _____

Please attach this sheet to your written testimony.

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PROFILE

Thomas Winston Cole, Jr., is Clark Atlanta University's first President. He brings to the University thirty years of experience as a distinguished educator and administrator. Dr. Cole, a native of Texas, graduated with honors from Wiley College and earned a Ph.D. in Organic Chemistry from the University of Chicago. He has been awarded honorary doctorates by West Virginia State College, the University of Charleston and Allegheny College.

Dr. Cole began his career in 1966 when he joined the faculty of Atlanta University as Assistant Professor of Chemistry. During his tenure at Atlanta University (1966-1982), he was chairman of the Department of Chemistry, Fuller E. Callaway Professor of Chemistry, and Provost and Vice President for Academic Affairs. He also served as Director of the Atlanta Resource Center for Science and Engineering, the first of three such centers established in the United States.

In addition to faculty positions at Atlanta University, Dr. Cole has held Visiting Professorships at Jackson State University, Massachusetts Institute of Technology, and the University of Illinois at Champaign-Urbana. He has also served as research scientist for the Celanese Fibers Company and Procter & Gamble. He served as President of West Virginia State College from 1982-1986. In 1986 he became the Chancellor of the West Virginia Board of Regents, one of only two blacks to head a state system of public higher education.

Dr. Cole returned to Atlanta as President of Clark College in 1988. Following the historic consolidation of Clark College and Atlanta University, he served simultaneously as President of both institutions and was appointed President of Clark Atlanta University in 1989.

Dr. Cole's professional activities and commitments are numerous. He is a member of the Council of Presidents of the Atlanta University Center. He is also a member of the Board of Quality Education for Minorities Project (QEM), the Executive Committee for Project Kaleidoscope (PKAL), the Commission for Educational Quality (SREB), and the Executive Council of the Commission on Colleges, Southern Association of Colleges and Schools. He serves on the boards of West Virginia Wesleyan College, WESTVACO Corporation National Black College Alumni Hall of Fame Foundation, and the National Center on Education and the Economy. His honors include Southern Regional Fellow (University of Texas), Woodrow Wilson Fellow, Danforth Associate; memberships in Beta Kappa Chi and Alpha Kappa Mu National Honor Societies; Listings in Who's Who in the South and Southwest and American Men of Science. Dr. Cole is an Eagle Scout, a member of Sigma Pi Phi Fraternity, and a life member of Alpha Phi Alpha Fraternity, Inc.

An active citizen of Atlanta and Georgia, Dr. Cole serves on the Boards of the Atlanta Area Council, Boy Scouts of America, the Atlanta Committee for Public Education, Central Atlanta Progress, Georgia Research Alliance, Alliance Theatre Company, Georgia Center for Advanced Telecommunications Technology, Atlanta Educational Telecommunications Collaboration, Inc., and Atlanta Underground Festival. In addition, he is a member of the Atlanta Action Forum and the advisory board of the Martin Luther King, Jr. Center for Nonviolent Social Change. He was also a participant in the BellSouth Executive Leadership Series.

Dr. Cole is a second generation college president. His father, Thomas Winston Cole, Sr., served as President of Wiley College from 1958-1971. Dr. Cole is married to Brenda Hill Cole, Deputy Attorney General for Business and Professional Regulations of the State Law Department for the State of Georgia. They are the parents of two children: Kelley Susana and Thomas III.

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The College Fund/UNCF Federal Programs

- Interior ..... Historic Preservation Program
- Commerce ..... Technology Access Project
- Centers for Disease Control ..... HIV Education Program
- EPA/Dept of Energy ..... Environmental Education Programs
- Defense ..... Infrastructure Development Assistance Project
- Agency for Int'l Development ..... Partnership for International Development

Grants/Contracts/Cooperative Agreements over $1 Million
Clark Atlanta University
1994 - 1997

Name of Grant		Funding Agency
Advanced Sensors Federated Laboratory Extramural Center		Department of Defense (DoD)
Center for Theoretical Studies of Physical Systems (MCRE)		NSF
Center of Excellence in Electronic Sensors/Combat (CECOM)		U.S. Army
High Performance Polymers and Composites Center (HiPPAC)		NASA
Investigation of Sensors, Energetics and Aerosols		U.S. Army
Program for Research Integration and Support for Matriculation to the Doctorate (PRISM-D)		ONR
Renovation of the Biology Bldg into the Environmental Sciences Research Laboratory		NSF
Center for Environmental Policy, Education, and Waste Management Consortium (CEPER)		EPA
* CAU Army Center of Excellence for Information Science		U.S. Army
* Clark Atlanta University Headstart		HHS
* Child Survival Project		USAID
* Clark Atlanta University Biomedical Science Development (RCMI)		HHS/NIH
* Design and Construction of the Graduate Research Center for Science and Technology		DOE
* Enhancing Clark Atlanta University Participation in Defense Research		U.S. Army
* Zambia Human Resources Development		USAID
* Research Impetus in Biomedical Sciences at CAU (MBRS)		HHS
* Strengthening HBCUs Program (Title III)		Department of Education
* Talent Search Program		Department of Education
* The HBCU/MI Environmental Technology Consortium		Department of Energy (DOE)
* Upward Bound Program		Department of Education
* Upward Bound-Math/Science (EXCEL)		Department of Education
* Nepal Democratization Project		USAID

*Other Multi-million dollar projects awarded prior to 1994

Completed 5/20/97

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Appendix F – THE WRITTEN STATEMENT OF DR. ROBERT A. CORRIGAN, PRESIDENT, SAN FRANCISCO STATE UNIVERSITY, SAN FRANCISCO, CALIFORNIA

Testimony of Robert A. Corrigan
President, San Francisco State University
Submitted to the House Subcommittee on
Post-secondary Education and Life-Long Learning
June 26, 1997

Good morning, Mr. Chairman and members of the subcommittee. I am pleased to be here representing San Francisco State University on behalf of the California State University. The CSU, with its 23 campuses, 326,000 students and two million graduates is the largest public, comprehensive institution of post-secondary education in the country. Collectively, we serve a student population that reflects the full diversity of our state - the increasing diversity of our nation and our nation's classrooms. We encompass higher education's various roles: adding to knowledge through research; emphasizing excellence in teaching and student mentoring; providing both liberal and professional education; and preparing some students for immediate careers, others for success in doctoral programs, still others for mid-life career change.

Universities in the New Urban Tradition

Our large urban campuses, San Francisco State among them, are often described as "non-traditional." We, however, consider that a misnomer. We are, rather, creators of a new tradition - that of the urban university that is an active citizen, a prominent external force in the community it serves. Urban universities reflect and respond to the needs of a community of learners who, like our major cities themselves, range widely in race, ethnicity, age, country of origin, pathway to the university, and life experience. A key part of the "new urban tradition" is an engagement with the community so fundamental to us that it is intertwined with the entire teaching and learning enterprise.

To an urban university such as my own, our community is also our classroom. Our scholarship is often focused on issues and needs of that community. Our standing as an impartial community resource, rich in talent and knowledge, enables us to draw together new kinds of partnerships for the purpose of addressing key community needs. The venerable land-grant model has been reshaped for an urbanized nation, and all of us – faculty, students, families, K-12 schools, our local business community – are the better for it.

One of the chief assets urban universities bring to community partnerships is the special nature of their student population. Many of our students are rooted in the community. They share cultural, and often linguistic, ties with substantial segments of their city. They are frequently older than the 18-22 year-old college cadre and bring a wealth of work force and real life experience into the classroom with them. They are prepared – and often highly motivated – to engage in community service projects.

San Francisco State University Students - A Snapshot

To take San Francisco State as one instance, let me provide a brief description of our student population. We are ethnically diverse: Sixty percent of our students are persons of color, and San Francisco State is proud to rank in the top 10 in the nation of universities awarding bachelor's degrees to students of color. Ninety-four percent of our students come from California, but we gain an international perspective from the nearly five percent who are visa students. The average undergraduate is almost 24 years old. Half our students receive financial aid, and 69 percent work, approximately 20 percent of them full-time. The 10 members of the Class of 1997 singled out for special honors at our recent commencement included a 55-year-old grandmother who has volunteered as a substance abuse counselor, the young founder of a theater company which works with disadvantaged high school students, and a young woman who taught sport skills to urban children and raised funds for breast cancer research while in school. These students are a magnificent resource, and through such programs

as Title XI, their energies can be joined with those of our faculty in programs that have far-reaching community impact.

The Proven Value of Title XI

At a time when higher education is – appropriately – being held accountable for the quality of its "product" (its graduates) and the cost-effectiveness of its operation, the urban university's ability to join education with community improvement, to forge new, broad-based partnerships, and to leverage both person power and funding is a major national asset. As Congress looks to streamline federal programs, balance the budget and maintain program quality, I believe one of the most cost-effective uses of federal dollars is incentive funds that enable institutions to leverage other resources and combine strengths. The Urban Community Service Program is a strikingly successful example of this. Recent efforts to eliminate this program, I believe, reflect unawareness that the return on this modest federal investment is enormous.

In the five years since the first Urban Community Service Grants were made under Title XI of the Higher Education Act – 17 awards, totaling just a little over $8,000,000 – universities across the nation have helped their communities seek new solutions to some of our most difficult national problems. In partnerships that include local school systems, private industry, local, state and federal agencies, foundations, and community organizations, institutions of higher education are providing tangible services to their communities. They are working with underperforming schools; creating databases and data collection for planning; training parents and families in literacy programs; providing after school academic and job training programs for disadvantaged youth; involving business leaders in educational initiatives; providing gang violence prevention programs; offering health care for students in local schools, and much more.

The special strength of these programs, and the particular value of Title XI, is the partnership requirement. Inner cities often lack the resources to tackle major social problems alone. Other federal programs may deal with a specific issue or part of a

larger problem, but most federal programs do not require coordination with all sectors of the community. Partnerships are what institutionalize and sustain programs. And universities are unsurpassed community partners. They provide a wealth of resources and talents that can make a real difference in the communities they serve. They offer faculty expertise, access to cutting-edge research findings, use of equipment and facilities, fundraising and grant writing experience, an energetic student workforce, and the ability to mobilize community service volunteers.

As Title XI grants have demonstrated, with a small amount of federal support, universities can lead the way in building sustainable programs, leveraging dollars from state and local governments, civic groups, schools, colleges and universities, foundations, and private businesses. Title XI is a federal program that is working - working exceedingly well. It is empowering local people to solve their own problems and requiring all sectors and members of the community to contribute something to the effort. As you hear from me and others about the concrete activities and successes of programs that got their start through a Title XI grant, I hope that you will share my conviction that Title XI must remain a part of the Higher Education Act, and must continue to be funded. Let me offer concrete, quantifiable evidence of Title XI's power.

Two Projects: A Closer Look

In a north-south consortium with its sister campus, CSU Los Angeles, San Francisco State University won the largest of the Urban Community Service grants awarded five years ago - an initial award of $1.2 million, to support more than a dozen programs in a statewide collaboration to address the needs of California's cities. Through this grant we have had a significant impact on a number of communities and have solidified our institutional commitment to working with our neighbors to solve mutual problems.

All of the projects that were created and expanded under this grant are institutionalized and ongoing. In the interest of time, I would like to focus briefly on

two of them to illustrate the efficiency, if you will, the cost-effectiveness, and the staying power of well-designed Title XI projects -- university-based and rooted in community partnership.

Step to College: Started in the late '80s by one San Francisco State professor in one low-income San Francisco high school, Step to College has been able to expand its reach through Title XI funding. Step to College is now thriving in 20 Bay Area high schools. The program aims to encourage disadvantaged students not just to stay in school, but to prepare for - and go on to - college. Recognized nationally by the Department of Education, this successful university/high school/local business partnership has encouraged hundreds of underrepresented minority students to enroll in college by giving them information and support, and moving them through a vigorous college preparation program.

As it functions in the Bay Area, Step to College begins with recruiting and advising mostly Chicano/Latino and African American students (all ethnicities can participate). They are mentored, guided into college prep courses, and, in their senior year, enrolled in one SFSU class, taken for credit, taught at their school by SFSU minority faculty. Qualifying "Step" students are assisted in their transition to the university. Once on campus, "Step" students become a cohort, receiving peer mentoring, and other academic support to ensure their retention.

The results are impressive. For the last five years, Bay Area Step to College averaged 500 students per year in the program. Of that number, 43 percent have gone on to a 4-year university, 37 percent to a 2-year college, and 4 percent to private institutions, vocational schools and the like. (Another one percent enlisted in the military.) That is an 85 percent college-going rate from a population (largely African American and Chicano/Latino) that in national terms, ranks in the single digits in college enrollment. At the high school where "Step" started, Mission High, the figures are even higher, with 91 percent of "step" students enrolling in two- or four-year institutions.

The real test of such a program is, of course, retention and graduation. At San Francisco State, the first-year, fall-to-spring retention retention rate is a markedly high 91%. In subsequent years, "Step" students overall do fully as well as their classroom peers in terms of grade point, admission to honor societies, dean's list, and so on. And their graduation rate - 62 percent - is slightly higher than the university average.

The San Francisco program now has a strong group of community business supporters, with 20 corporations and enterprises (including CitiBank and the San Francisco Giants) now funding scholarships and enrichment activities for "Step" students.

The impact on young lives of Step to College is only one part of its benefit. The community gains greatly from the transformation of disadvantaged (and often disaffected) minority young people into college graduates who return to the community ready to contribute and to provide the multiethnic leadership our state and nation must foster for a successful future. Step to College is, in one area of San Francisco, linked with a broad-based program to meet the academic, medical and social service needs of young people in a disadvantaged, largely Chicago/Latino, neighborhood.

<u>The Mission Academic Complex/Mission Health Center,</u> based in one of San Francisco's poorest and most academically underperforming districts, which has also been federally designated as a medically underserved community, demonstrates powerfully the capacity of a well-designed program to leverage funds, simultaneously address several academic and social needs, and build a large and sustaining community partnership. The figures are stunning: From an initial Urban Community Service Grant of $150,000, the project has, in five years, leveraged that into $3.5 million in support from private foundations, corporations, city departments and federal agencies..

One element of this project is a K-16 educational collaborative drawing on the Step to College model, designed to provide at-risk youth with an academic program that prepares them for college and offers special opportunities to consider professions in the health sciences; the other is a health center based in the district high school, serving

students and their families, and helping them to connect with San Francisco social services.

The project - originally conceived by and operating out of the SFSU nursing program -- is now a consortium of two universities (San Francisco State and the University of California at San Francisco), the San Francisco Department of Public Health, the San Francisco Unified School District, the California Department of Human Services, Kaiser Permanente (a large HMO), two managed care companies, and more than 30 local agencies serving children and youth.

A sampling of activities suggests the program's reach and effectiveness: In the last several years, we have: expanded beyond the schools originally targeted, established a Free Urgent Care Health Clinic for uninsured families and children, placed Department of Public Health medical providers at the health center to offer direct services, initiated managed care contracts with Public Health, established training programs for university students to work with young people in the schools, provided an eligibility worker for families, developed a parent education program, involved over 130 university students (most from nursing, social work and counseling) in service learning and clinical placements, and developed a health careers class and an internship at an urban hospital to provide minority high school students with opportunities and information about health careers (more than 35 students have completed the program in its first two years).

Since it opened in 1992, the health center has logged over 8,000 student visits, health center staff have provided over 200 hours of classroom teaching time this year, and health professions students have come from five universities to work at the center.

Since 1992, this project has more than met the performance criteria recently suggested by Congress for evaluating the effectiveness of Urban Community Service programs. It is clearly maintaining and expanding institutional resources beyond the grant period. Under the leadership of San Francisco State University this project has grown from SFSU alone to the broad range of public/private/social service/educational collaborations itemized above.

Grant activities are reflected in the institution (SFSU)'s infrastructure. A strong case in point: Faculty involved in the project helped shape the community responsibility segment of San Francisco State's new strategic plan, increasing visibility and incentives for involvement in such projects. Faculty involved in the project received one of the first PEW awards for Service Learning, and they have served as role models, encouraging others to become involved with projects addressing community needs.

The project is clearly able to sustain partnerships beyond the grant period All partners have committed themselves to continued - even expanded - involvement with the project. This is no longer just SFSU's project; it is a strongly-rooted and highly visible community venture.

Evaluation is a key part of the Mission District project, and each of the agencies, health care providers and educational partners and providers is continuing to assess the number of students they are reaching, the changes they are effecting, and their longer-term success in improving these young people's futures. All of this is being documented on a management information system specifically designed for this project. While we feel that it will take the full five years of funding to determine adequately the outcomes for each activity, very positive trends already have emerged, and are documented in the initial reports to the Department of Education and the Department of Health and Human Services.

I have offered a great deal of detail about this project because I feel that it encapsulates the promise and the community value of Title XI.

Recommendations

In order to maximize the federal investment in the Urban Community Service program, I would make the following modifications to current law: First, I suggest that Congress more specifically target the program, identifying a few broad areas of priority in the legislation. Among them I would suggest: welfare to work and workforce preparation; community infrastructure projects linked with Empowerment

Zones, Enterprise Zones, and Community Development Block Grants; education; health, and crime prevention. Secondly, there should be changes in the findings section to reflect current situations; and finally, I suggest that section on information dissemination that includes the use of electronic technology be added. I would be happy to work with the members of the committee on specific language at the appropriate time during this reauthorization.

With respect to the rest of the Higher Education Act, I believe that three program areas - graduate education, teacher training, and accreditation -- should be thoroughly re-examined. I would like to see minor modifications to Title IV that would accommodate fifth-year students and year-round operations, reassess the hold-harmless provisions in campus-based programs, and clarify community service and training provisions in the work-study program. I will provide my comments on these matters to the committee in more detail at a later date.

Thank you for this opportunity to speak to this critical piece of legislation. Higher education is both the foundation of the future for many of our nation's people and a vital resource as we collaborate to shape that future well. I trust that you will preserve and enhance the power of the Higher Education Act to strengthen our shared society.

Appendix G – THE WRITTEN STATEMENT OF DR. CHARLIE NELMS, CHANCELLOR, UNIVERSITY OF MICHIGAN - FLINT, FLINT, MICHIGAN

Statement before the
U.S. House Committee on Education and the Workforce
Subcommittee on Postsecondary Education,
Training, and Life-Long Learning

June 26, 1997

Hearing on Reauthorization of the Higher Education Act
Washington, D.C.

Charlie Nelms
Chancellor
The University of Michigan-Flint

Mr. Chairman and members of the subcommittee, I am Charlie Nelms, Chancellor of the University of Michigan in Flint. I appreciate this opportunity to appear before the Subcommittee today to discuss the role urban universities play in providing access to education for today's diverse population of college students -- especially those urban, non-traditional students, many of whom are juggling full-time work, family and school responsibilities.

I come to you today as one who would not have been able to obtain a college education had I not been the recipient of a National Defense Student Loan and a college work-study grant in 1965. I am one of eleven children; my parents were subsistence farmers in the Delta Region of Arkansas. To their credit, eight of their children managed to obtain some form of postsecondary training. I recently calculated that I received less than $12,000 in financial aid while in college. Over the years since leaving college, I have paid back much, much more in taxes of various forms. The moral of the story, Mr. Chairman, is that education pays. Not just in terms of increased lifetime earnings, but in preparing people like me to assume positions

of leadership and to thereby make educational opportunity a reality for others. What I wish to talk with you about today, however, is the Title XI program and how it is transforming lives.

The University of Michigan in Flint is one of two urban public universities in Michigan. The University of Michigan-Flint serves 6500 commuter students from a 17 county region. Our campus is located in downtown Flint, Michigan, once one of America's most manufacturing-intensive communities. More than 60 percent of our students receive financial aid; nearly half are over the age of 26; most work full or part-time; most are first generation college students; over 60 percent are women; nearly 20 percent are from minority populations. Unfortunately, only about 10 percent of Genesee County's residents hold a bachelor's degree. And it is precisely at places like the University of Michigan-Flint where financial aid and Title XI programs can do the most good. Such programs bring hope to the hopeless and help to the helpless. Simply put, these programs are synonymous with opportunity.

As the social contract is rewritten between higher education and the American society, it is my belief that urban universities will play a pivotal role in helping to revitalize our cities. This is especially true in cities once dominated by manufacturing entities that have experienced tremendous downsizing. Two decades ago, the greater Flint area enjoyed one of the highest per capita income levels in America. However, automotive manufacturing jobs declined from a high of approximately 80,000 in the mid-1970's to approximately 35,000 today. The area is bracing for another major job loss shortly after the turn of the century, which could result in an additional loss of as many as 15,000 jobs.

Once a bustling city, Flint's downtown business district, like many urban centers throughout America, is now a mix of government offices, law enforcement agencies, boarded up store fronts and taverns. A suburban economic development ring has been created by those businesses leaving downtown and new businesses joining them on the outskirts of the city. And, all the while, the expectations have been growing regarding the University's role in economic revitalization.

Mr. Chairman, I am pleased to note that the University of Michigan-Flint is rising to that challenge and meeting those expectations. But we could not do it without the support of Title XI funds. Ours is one of only three universities in the nation to receive grants under both the Title XI, Urban Community Service Program, and HUD's Community Outreach Partnership Center.

The University of Michigan-Flint is currently engaged in three projects utilizing funds from its Title XI grant. They include:

√ Technical assistance to businesses located in the City of Flint Enterprise Community. Services offered include preparing marketing plans, budget planning, projections and monitoring, and computer system design and implementation.

√ Business Plan Development assistance for persons who want to start a business. Assistance includes providing workshops on writing effective business plans, enhancing writing and presentation skills of prospective business owners.

√ Data Base Development and Training. The University is helping to create a data base of businesses in the Enterprise Community, their

health and needs relative to the types of assistance needed. The University is going a step further by providing businesses with the assistance needed.

In the 18 months since receiving its Title XI grant, the University has assisted eight existing companies and over 100 prospective entrepreneurs.

The impact of these programs is immediate: small businesses emerge stronger while neighborhoods have a better opportunity at revitalization. Faculty and students are able to use their knowledge to address authentic community problems while tax paying, small business owners and prospective entrepreneurs gain access to a university that they often perceive as being beyond their reach.

The two most often cited criticisms about Title XI is that it duplicates other programs and that it has little connection to education.

First, on the matter of duplication, it should be noted that while a number of Federal programs provide technical assistance of various sorts, Title XI is the only program designed specifically to forge partnerships between communities and urban universities. The

Department of Housing and Urban Development is in the process of phasing out funding for approximately forty-five community outreach partnership centers. When that happens, there will no longer be any federally supported programs that encourage the formation of strategic alliances between universities and this country's urban centers.

Second, the "education connection" is a central feature of the Title XI supported activities at the University of Michigan-Flint. All of our activities involve students, faculty and residents from the community. Consequently, students have the chance to apply what they learn in the classroom to what is happening in the city. In short, students get the opportunity to experience the "case study" rather than dealing with hypothetical situations. One student participant recently remarked, "I now have a better understanding of the challenges faced by small business owners generally, but especially those that are located in economically distressed urban areas."

Recommendations

Mr. Chairman, earlier this week President Clinton unveiled his plans for addressing the challenges faced by this country's urban

centers. As one who lives and works in the city, I have first hand knowledge of these challenges. But as chancellor for an urban university, I am equally as knowledgeable of the opportunity for addressing those problems if more partnerships are formed between universities and cities. I therefore encourage you to:

NOT only continue Title XI, but to increase funding and the number of universities participating in this enormously valuable endeavor.

Education is the avenue to a better life for current and future generations. However, unless urban dwellers can access that education in its various forms, the gap between the haves and have-nots will continue to grow.

Thank you for the opportunity to share these observations with you.

Appendix H – THE WRITTEN STATEMENT OF MS. ELIZABETH VAN UUM, ASSISTANT TO THE CHANCELLOR, UNIVERSITY OF MISSOURI AT ST. LOUIS, ST. LOUIS, MISSOURI

Testimony of Ms. Elizabeth Van Uum
Assistant to the Chancellor
University of Missouri at St. Louis
St. Louis, Missouri

Before the Subcommittee on Postsecondary Education,
Training and Life-Long Learning
Thursday, June 26, 1997
2175 Rayburn
Washington, DC

45-720 98 - 5

Office of the Chancellor

Elizabeth Van Uum
Assistant to the Chancellor
Public Affairs

June 23, 1997

Testimony of Elizabeth Van Uum
University of Missouri-St. Louis
to Committee on Education and
the Workforce

Mr. Chairman, members of the Committee, I am Elizabeth Van Uum, assistant to the chancellor for public affairs at the University of Missouri-St. Louis. I am honored to appear before you today on behalf of the 18,000 faculty, staff and students of the University of Missouri-St. Louis and the 86,000 students who are enrolled annually in its continuing education programs. I am here also on behalf of our many community partners who depend on UM-St. Louis as an institution that makes a difference in our metropolitan region. I am accompanied by my colleague, Donald Driemeier, deputy to the chancellor.

More than a century ago, America built a national resource through deliberate federal investment in a class of land-grant universities that would help ensure the realization of the economic potential inherent in our agricultural and natural resources. These institutions continue to play vital roles today in fulfilling the modern aspects of that agricultural mission. They are American success stories.

I believe the success of land-grant institutions stems from two primary factors:

- First, the federal government established a steady, ongoing base of significant financial support.

- Second, the federal government directed its support to institutions best prepared to meet the mission -- institutions that were located among the rural communities and populations which were to be served.

My testimony today will focus on the emerging role of urban universities that are addressing critical issues of America's cities with the same teaching, research and service philosophy instilled in the original, rural-based land-grant institutions of the 1800s.

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As an urban land-grant university, UM-St. Louis participates in several formal and informal groups of urban universities that network together in order to share experiences, models, and strategies for addressing metropolitan issues. These include the urban interest groups within National Association of State Universities and Land-Grant Colleges and Association of American State Colleges and Universities, the Coalition for Urban and Metropolitan Universities, and the Urban 13. UM-St. Louis has greatly benefited from participation in these networks of institutions that serve as a natural avenue for dissemination and shared learning. Our story at UM-St. Louis is representative of the story of all major urban universities today.

UM-St. Louis is located in the heart of the metropolitan St. Louis region, drawing more than 90 percent of its students locally. It enrolls and graduates more African American students than any other four-year institution in the state and, at 60 percent, enrolls a significant number of female students. As graduates, 85 percent of these individuals remain within the region to live and work. We educate St. Louis.

We conduct the research which benefits St. Louis. Our trained faculty and research staff provide much to the economic and social development of the region. That philosophy of relevant research is reflected in the University's new Center for Molecular Electronics, where UM-St. Louis faculty and corporate researchers are working side-by-side on products which will keep our region and nation globally competitive.

We also partner with St. Louis. Without federal support, UM-St. Louis has established local partnerships which address issues of precollegiate education, public safety and public health.

- UM-St. Louis faculty and students operate precollegiate educational programs reaching nearly 9,000 students and teachers directly in the schools and through programs held on campus. These complex programs are underwritten by several local corporations which are concerned about the urban area's ability to produce tomorrow's work force.

- UM-St. Louis faculty have joined with local school districts to implement highly innovative hands-on, cognitive thinking based science and math programs through its Regional Institute for Science Education and Center for Excellence in Urban Education. A primary example is the University's leadership in overseeing this innovative curriculum in the St. Louis City Public School's Drew-Compton Investigation Learning Middle School.

- UM-St. Louis UM-St. Louis faculty have studied and helped implement programs which have reduced crime in high poverty neighborhoods and dealt with the ongoing issue of gangs and youth violence.

- UM-St. Louis operates optometry clinics in the cities of St. Louis and East St. Louis ... in areas with a heavy concentration of minorities and poverty. Our clinics provide the only eye care service in this troubled community. Service is provided free to qualified individuals and, with the assistance of local Lions Clubs, individuals often receive free glasses. The continued existence of these clinics rely on our faculty and students and the generosity of our partners such as the Lions Club, American Optometric Society and SIU-Edwardsville.
- UM-St. Louis has created 16 endowed professors which link us directly with the area's most visible cultural, social and educational institutions such as the St. Louis Symphony, St. Louis Art Museum, St. Louis Zoo and Missouri Botanical Garden. This model has allowed the university to focus the resources of these institutions toward the educational experiences of our students.

These few examples provide a glimpse of what we do at UM-St. Louis and what we could do with a steady, ongoing base of significant financial support from the federal government.

Authorized under Title XI of the Higher Education Act of 1965, the Urban Community Service Program has been the first and only federal effort to specifically support institutions in urban areas by providing critically needed funding to establish model programs in areas of concern to urban communities.

My purpose today is to emphasize to you the importance of continuing the funding for Title XI. The crisis in our nation's cities demands federal focus and funding; this program helps put the expertise of urban universities to work in their immediate communities, where the need is the greatest. The program has a proven record of success in addressing the problems of the cities; it must be continued.

Title XI has been the first, small effort to recognize that America's urban universities are the best prepared to address the serious crises facing our metropolitan regions. Our students, alumni, and faculty come from and live in these urban communities. Our students participate in a broad variety of community-based research. Our physical plants sit in the midst of the

challenging urban context that frames our academic programs, our research agendas, and our service efforts.

We are hard-working universities that have for years scrambled to meet community needs as best we could without adequate support to do so. Title XI has made a difference in selected cities; it must be continued so that your states' urban constituents can continue to have access to the intellectual resources of the urban university in order to meet their needs.

More than 75% of America's citizens now live in urbanized areas. These citizens represent the diverse pool that will be our economic work force in the coming century. Often the urban university, working in partnership with community colleges, are the unique resource to develop the skills of that work force. Given the critical challenges facing our cities, urban universities not only provide traditional and nontraditional students with access to lifelong learning, but they also work in direct ways to improve the capacity of the metropolitan community to address urgent needs. We are working with the community, not as academic experts armed with simplistic solutions for urban problems, but as a major enterprise and resource that has a shared and vested interest in community well-being.

Congress made a commitment to the development of these urban universities who work with their communities when you first provided funding for the Urban Community Service Program (Title XI of the Higher Education Act). This program provides grants to urban grant institutions to work in partnership with private and public community-based organizations to respond to critical community-identified urban problems.

Increasing school success and high school graduation rates, expanding access to primary preventative health care services, restoration of the environment in urban cities, crime prevention, preparing people for work, starting and sustaining businesses in troubled neighborhoods are among the many goals of projects funded by the Urban Community Service grant.

Of the 32 programs currently active, there are many interesting examples. University of Colorado at Denver is working with its Enterprise Community to provide employment services and training; University of Louisville is helping with a comprehensive revitalization strategy that will help rescue the city's most impoverished neighborhood; University of New Orleans provides communities with technical assistance and training regarding environmental issues that impact their quality of living; Wayne State is collaborating with the community to prevent crime/violence and to enhance business and job development through services that build healthy families; College of New York is making technology available in neighborhoods to

promote economic development and job readiness; El Paso Community College is providing a one-stop center for job training and business development services; Wisconsin-Milwaukee is helping community

organizations be more effective in providing programs of disease prevention, substance abuse treatment, and youth counseling; and Portland State University is linking university faculty and students with middle school teachers to help keep kids in school and improve math and science learning outcomes - a key to success in the work force.

You well may ask why someone from an institution that has no Title XI grant would be here today to offer testimony. I hope by my message I demonstrate there is a national collaboration among urban institutions who share a vision for better cities and revitalized urban living, and who accept responsibility for helping bring about needed improvements. We all agree we must have federal partnerships to achieve our vision, and UM-St. Louis believes Title XI must be continued to help continue to build capacity.

Mr. Chairman, I truly appreciate Congress' commitment to the urban university agenda. Your support and the support of the members of this Committee for Title XI has not only changed communities, you've changed lives. The FY 1997 appropriations bill provided $9.2 million for this program. It is our hope that funding can be increased to at least $10 million for FY 1998. This modest investment will maintain the currently funded programs and provide a modest increase in newly funded programs. I appreciate the task you face as you balance tight budgets and want to thank you for your leadership over the years on behalf of students and higher education. Here is the rare opportunity to continue support for a program that has demonstrated real impact and real outcomes that improve lives in our troubled cities.

BIOGRAPHY OF ELIZABETH VAN UUM

Elizabeth Van Uum was appointed Assistant to the Chancellor for Public Affairs at the University of Missouri-St. Louis in 1983. Ms. Van Uum is a senior officer of the University of Missouri-St. Louis and the campus' official liaison with the public sector. She is responsible for government relations at the federal, state, and local level. She is a member of the NASULGC Commission on the Urban Agenda; active in the Urban 13 Organization; and a member of the NASULGC Council of Governmental Affairs.

In 1994 Ms. Van Uum was appointed by Governor Carnahan to serve as a Commissioner for the Bi-State Development Agency of the Missouri-Illinois Metropolitan District, which operates public transportation systems in this region, including MetroLink, the bus system, Parks Airport, and the train to the top of the St. Louis Arch. In 1997 Ms. Van Uum was elected chair and appointed acting director of the agency.

Ms. Van Uum provides political analysis for media and political organizations and regularly speaks to various groups about public affairs.

Before coming to the University of Missouri-St. Louis, Ms. Van Uum served two terms on the St. Louis County Council. She was the first woman elected to that position. In 1972 and 1973, Ms. Van Uum was the legislative liaison for the Equal Rights Amendment Coalition.

Ms. Van Uum has been active in community affairs. She currently serves as a Director for the St. Louis County Historical Society; a member of the Maria Droste Residence Advisory Board and is a member of the St. Louis, Missouri, and National Women's Political Caucus. She has served as a delegate to the Democratic State and National Conventions every year since 1972. She was the Missouri coordinator of the Democratic National Committee, Women's Advisory Council; President of the Creve Coeur Township Democratic Club; Member of the Presidential Task Force on Women in Government; Convener of the Conference of Women Legislators for the Midwest Region; served as Member of the Jury Evaluation Committee; Board Member of Human Development Corporation; Member of President's Council of Fontbonne College; Member of Governor's Task Force on Economic Development; Chairwoman of the Board of INTERCOP; Fellow of the Washington University Center for Political Education; Board Member of the Metroplex Corporation; Board Member Maternal and Child Health Council; Board Member of the Dance Concert Society; Director of the St. Louis Orphans' Relief Service; Member of University City School Board Health Committee; Group Coordinator Vatican II Discussion Groups; and Member of the Executive Board of the McKnight School P.T.A.

Ms. Van Uum is a graduate of St. Louis University with a degree in Political Science, St. Joseph's Academy and St. Ann's Grade School.

Appendix I – THE WRITTEN STATEMENT OF DR. NORMA REES, PRESIDENT, CALIFORNIA STATE UNIVERSITY-HAYWARD, HAYWARD, CALIFORNIA

TESTIMONY
DR. NORMA REES
PRESIDENT, CALIFORNIA STATE UNIVERSITY-HAYWARD
June 26th, 1997

Mr. Chairman:

I am submitting this written testimony in support of Title XI, Urban Community Service. Based on our excellent experience, I am an ardent supporter of Title XI. This section, created by the 1991 amendment of the 1965 Higher Education Act, focuses on enabling urban and metropolitan institutions of higher education to devise solutions to pressing and severe problems in their communities. The program provides incentives to urban educational institutions to work together with private and civic organizations to address these problems. As a result of the interaction with the community, the university becomes more effective in its mission. Children and parents are inspired by the work of the university's students and faculty. Interest in the university, encourages, perhaps for the first time, access to higher education. The university can make a real contribution to its community.

Our two year project, *ONRAMPS FOR OAKLAND*, brought information technology to twelve community based organizations selected through the collaboration of CSU HAYWARD, UC BERKELEY, and the City of Oakland. These organizations have received computer hardware, software and training and a university student ten hours a week. In addition to providing basic computer skills to staff and clients, OnRamps team members have demonstrated methods of collaboration with other agencies and methods of empowering the lives of Oakland residents through the use of technology and the Internet. The program was developed by three faculty members at CSU Hayward. The agencies were given technological support and training by CSU Hayward students. Each agency received 500 hours of technological support, including the development of a web page.

The accomplishments of the UCS forty five grants are documented. These accomplishments and the benefits to the participating universities, their faculties, their participating students and the potential future students far out weigh the small expense. Urban universities and colleges must be involved in their communities. This involvement is part of the process that gives the institution standing in the community and opens the interest of citizens, both and old, to seek a higher education. **This program deserves to be reauthorized, should be located in the Department of Education and should be funded at a level of $25 millions.**

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Information OnRamps for Oakland

Information OnRamps for Oakland is a project of California State University, Hayward that will implement a technology training and support project for residents and community based organizations in three Oakland neighborhoods. Planned in cooperation with the City of Oakland and the UC Berkeley Joint Community Development Program, the project will establish access to information technology, promote interactive sharing of information, and contribute to improved efficiency and effectiveness of community organizations. Faculty and students from Cal State Hayward will work with twelve organizations to place and help support computer equipment that will enable connectivity to the world. Students and community residents will cooperate to create a system that will meet the organization's needs.

Outcomes of the project

- Access to information sources for residents of the Enhanced Enterprise Community areas.
- Interactive sharing of information, ideas and plans between community organizations.
- Increased efficiency and effectiveness of community based organizations through sharing of information.
- Increased personal and professional opportunities for neighborhood residents.
- Improved opportunities for university and community connections.
- Support for the community development and Enhanced Enterprise Community goals.

For more information, contact Dr. Bette Felton, California State University, Hayward, 510-885-3877, or bfelton@csuhayward.edu

The Community Information Infrastructure Projects are:
California State University Hayward's Information OnRamps for Oakland, funded by the US Department of Education, and
UC Berkeley's Joint Community Development Program, funded by the US Department of Housing and Urban Development.

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Information OnRamps for Oakland

Implementation Strategy

In the first year, twelve CSUH students will be recruited and prepared to work as on site trainers in EEC neighborhoods. The students will be graduate students in technical fields or senior undergraduate students from Computer Information Systems, Telecommunications, Computer Science or Multimedia. They will be residents of Alameda County and could be living in the Enterprise communities. They will be selected on the basis of technical knowledge, communication skills and interest in community work. The student trainers will be prepared for their work with 45 hours of training which will include:

• Technical Orientation	30 hours
• Community Orientation	5 hours
• Multicultural Communication and Mentorship	5 hours
• Team Building and Support	5 hours

This preparation will allow the student trainers with support of a technical co-ordinator and the faculty director, to work effectively in an EEC Community, training residents and community organizations. They will learn in context and recognize the reality in which their technical knowledge must be applied. With their academic background, technical expertise, and community preparation, the trainers will have primary responsibility in the accomplishment of the project objectives. The student trainers will also serve as mentors for neighborhood residents who will observe the student trainers. This shadowing process will benefit both groups who will learn from each other.

The Information OnRamps project will be implemented in 2 years. The progression of implementing is shown below and the timeline is organized in monthly intervals.

• Establish campus-community Advisory Group to assist the CSUH Co-ordination Team in analyzing training needs and performing neighborhood needs assessments (months 1 and 2).

• Collaborate with Distributive Learning Resources to integrate technical and curricular resources (months 2 - 5).

• Hire Technical Training and Support Co-ordinator (months 2 - 3). This person will give planning and installation support to the Coordination Team, the Student Trainers and the neighborhood sites. She/He will assist in the development of training materials and will assist with the training of Student Trainers and CBOs in Oakland

• Continue collaboration with EEC players to clarify infrastructure and content for training (months 2 - 4). This collaboration with the City of Oakland Enhanced Enterprise Community, UC Berkeley, the Oakland Public Library, and other stakeholders will result in the designation of neighborhood sites for implementation.

• Design training and support materials in written and electronic forms. (months 3 - 6). The material will be updated on an ongoing basis and customized to the needs of each site.

• Recruit 12 university student site trainers from CSUH who have background expertise in computing, telecommunication, and multimedia (months 3 -4).

• Present a training and support preparation plan for approval to the Advisory Group (month 5).

•Orient student trainers at CSUH using preparation plan and training materials (month 6).

• Support trainers with weekly meetings and advice as they work with neighborhood sites to develop relationships and plans (months 6-7).

• Development of customized plans for neighborhood training and shadowing opportunities individualized per neighborhood. This will include identification of equipment needs after technology and community assessment (months 7 - 9).

• Order equipment based on neighborhood plans, allowing two months for delivery (months 7-8).

• With advice of EEC and community, implement training and shadowing according to neighborhood plans (months 8-10).

• Provide continuing training and follow up according to neighborhood plans and EEC goals (months 10 - 12, year 2).

• Expand resource/community service information generation of information by CD ROM production (year 2).

For more information, contact Dr. Bette Felton, California State University, Hayward, 510-885-3877, or bfelton@csuhayward.edu

The Community Information Infrastructure Projects are:
California State University Hayward's Information OnRamps for Oakland, funded by the US Department of Education, and
UC Berkeley's Joint Community Development Program, funded by the US Department of Housing and Urban Development.

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Who are the Community Based Organizations? (CBO's)

- ASHA House
- Bay Area Community Servies
- Bethlehem Lutheran Church
- California Hotel Tenant Support
- East Bay Community Recovery Project
- Next Step learning Center
- Phase III, Inc.
- St. Vincent's Day Home
- Taller Sin Fronteras
- The Youth Employment Partnership
- Ujima
- West Oakland Health Council

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The OnRamps Team

Bette Felton, RN, Dr.PH
PROJECT DIRECTOR

Christopher Morgan, Ph.D.
DIRECTOR OF TECHNOLOGY

Hadi Behzad, Ph.D.
DIRECTOR OF OPERATIONS

Suzie Ruggles
PROJECT MANAGER

STUDENT SITE LIASONS (SSL's)

Ann Choi	Art/Multimedia
Calvin Doan	Computer Science
Charles DeBose	Multimedia Arts
Howard Chan	Computer Science
Jeff Vo	Telecommunications
Josh Howe	Computer Science
Juan Martinez	Multimedia
Mindy Graham	Human Devel
Nuah Hanna	Computer Science
Dasha Campbell	Psychology/Anthropology

CSU HAYWARD
25800 CARLOS BEE BLVD, WA 433
HAYWARD, CA 94542

email: sruggles@csuhayward.edu
www.hal.csuhayward.edu/oakland/

ONRAMPS

for Oakland

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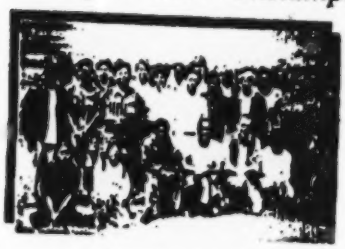
... Information OnRamps



for Oakland

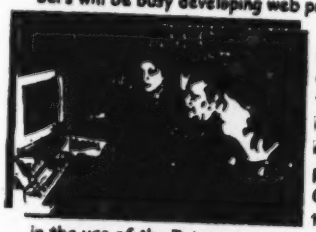
is a two year project funded by the U.S. Department of Education and administration through the CSUH Foundation.

As the brainchild of three faculty members at California State University, Hayward, the OnRamps goal is to bring information technology to selected Community Based Organizations (CBOs) located in the Enhanced Enterprise Community Zones of the City of Oakland.

The twelve organizations, selected through the collaboration of CSUH, UC Berkeley, and the City of Oakland, have and will continue to receive computer hardware, software and training. In addition to providing basic computer skills to staff and clients, OnRamps team members hope to demonstrate methods of collaboration with other agencies and methods of empowering the lives of Oakland residents through the use of technology and the internet.

Each of the twelve agencies have received a "state of the art" computer, standard software, a printer, a back up hard drive, and access to the Internet for a two year period. The agencies have been granted technological support and training through a CSUH student who has been selected as a Student Site Liaison on the OnRamps team. The student site liaisons will provide a total of 500 hours at each agency throughout the project.

The project is currently in its second and final year. This is the year of connectivity and collaboration. In the months ahead, OnRamps team members will be busy developing web pages for each of the twelve CBO's and providing Organizational training in the use of the Internet.



Collaboration among the twelve agencies in servicing the Oakland residents is also a priority for the final year.

The *highlight* of the project is the interaction and learning that has taken place among the CSUH students serving as Student Site Liaisons. Not only are they being exposed to numerous multi-cultural environments, they are also learning independence, responsibility and leadership skills.

The project will continue to grow to meet the changing needs of the twelve agencies and students. The ultimate goal is that all of the OnRamps for Oakland partners will enhance their lives and the lives of others, through this experience.

Project Partners

CSU, Hayward
UC Berkeley
CSUH Foundation
U.S. Department of Education
Distributed Learning Services (DELTA)
Partner Program Network.
City of Oakland

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Who are the Community Building Organizations

- ASHA House
- Aztec Hotel Tenant Support
- Bay Area Community services
- Bethleham Lutheran Church
- East Bay Community Recovery Project
- Next Step Learning Center
- Phase III, Inc.
- Saint Vincent's Day Home
- Taller Sin Fronteras
- Ujima House
- West Oakland Health Council
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The OnRamps Team

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Project Director

Christopher Morgan, Ph.D.
Director of Technology

Hadi Behzad,Ph.D.
Director of Operations

Suzie Ruggles
Project Manager

Cherie Lane
Graphic Artist

Dave Esmond
Chief Technician

The OR Group
A team of five multimedia students

Student Site Liaisons

Tasha Campbell	Howard Chan
Charles Debose	Jamaal Dennis
Calvin Doan	Miranda Graham
Nosh Hanna	Joshua Howe
Charles Hunt	Tung Lee
Juan Martinez	Katrina Steptore

Warren Hall 433,
California State University, Hayward
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OnRamps

FOR OAKLAND

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Information OnRamps: For Oakland

Information OnRamps for Oakland is a project of California State University, Hayward that will implement a technology training and support project for residents and community based organizations in three Oakland neighborhoods. These three zones are referred to as the Enhanced Enterprise Community Zones.

Planned in cooperation with the City of Oakland and the UC Berkeley Joint Community Development Program, the project will establish access to information technology, promote interactive sharing of information, and contribute to improved efficiency and effectiveness of community organizations.

Faculty and students from Cal State Hayward will work with twelve Community Based Organizations (CBO'S) to place and help support computer equipment that will enable connectivity to the world. Students and community residents will cooperate to create a system that will meet the organization's needs. The project will select twelve students to serve as Student Site Liaisons and work with each Community Based Organization.

PROJECT GUIDELINES

- Access to information sources for residents of the Enhanced Enterprise Community areas.
- Interactive sharing of information, ideas and plans between community organizations.
- Increased efficiency and effectiveness of community based organizations through sharing of information.
- Increased personal and professional opportunities for neighborhood residents.
- Improved opportunities for university and community connections.
- Support for the community development and Enhanced Enterprise Community goals.

SPONSORS

- Department of Education
- California State University, Hayward
- Distributed Learning Resources (DELTA)
- Partners Program Network
- The University-Oakland Metropolitan Forum
- University of California at Berkeley
- The City Of Oakland

UNIQUE FEATURES

- A lead university with technological expertise & community commitment.
- An interdisciplinary neighborhood-led approach to using information technology & systems for community service purposes.
- A planning collaboration that includes the City of Oakland Enhanced Enterprise Community and the University-Oakland Metropolitan Forum.
- Customized technology support based on student trainer & shadowing resident data.

WHAT IS THE EEC?

Oakland was designated as an Enhanced Enterprise Community in December, 1994. As part of the designation, Oakland received $3 million, which is being used to implement the Community Building Team Program and Partner Program Network.

The three Enhanced Enterprise Community zones are West Oakland, San Antonio-Fruitvale and the Coliseum-Airport.

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MILESTONES

- Collaboration with other universities in service to Oakland.
- Participation in local school to work partnerships in Oakland.
- Enhancement of Cal State University, Hayward
- October 1995-Award of Urban Community Service grant, Information OnRamps For Oakland.
- Regular decision making and career planning with University of California at Berkeley and the City of Oakland.
- The creation of the Community Information Infrastructure Project (CIIP)
- Planning and selection of the Community Advisory Board.
- Development of the six guiding principles.
- Project participation criteria for CBO's.
- Development of a process of CBO applications.
- Application review and rating by the Advisory Board and CIIP.

Continued on other side

MILESTONES

- Identification of knowledge, skill and character in selection of project personnel.
- Collaboration with the CSUH MultiMedia faculty and graduate students.
- Development of a plan for the communication process and procedures.
- Scanning of technical development that relate to the project.
- Recruitment and Selection process for Student Site Liaison.
- Collaboration with university entities for project needs:
  - Training
  - Space
- Connecting to University Community Service Scholarship.
- Scanning the market for the techno logical needs of the project in hardware and service.
- Attendance at Partner Project Network meetings in the City of Oakland.
- Planning for visits with project personnel and to each of the selected CBO sites.
- Outline content and process for training retreat.

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Appendix J – THE WRITTEN STATEMENT OF DR. JOHN I. GILDERBLOOM, DIRECTOR, URBAN STUDIES INSTITUTE, UNIVERSITY OF LOUISVILLE, LOUISVILLE, KENTUCKY

Report on the University of Louisville

Sustainable Urban Neighborhoods Grant

26 June 1997

Dr. John I. Gilderbloom
Dr. Thomas S. Lyons
Katherine K. Cornwell

Testimony for the United States House of Representatives Hearings on
Urban Community Service Grants

UofL

SUN
(Sustainable Urban
Neighborhoods)

Urban Studies Institute
University of Louisville
426 West Bloom Street
Louisville, Kentucky 40208

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ulkyvm louisville edu
http://www.Louisville
edu/org/sun

June 19, 1997

Representative Howard P. "Buck" McKeon
Chairman of the Subcommittee on Postsecondary Educatiion
307 CHOB
Washington Office
Washington, D.C. 20510-0525

Dear Representative McKeon:

I understand your committee will be holding hearings on reauthorization of Title 11 Urban Community Service Grant this coming Thursday. Our program at the University of Louisville is considered the best project now operating in the United States. Our project has helped spark 40 million dollars worth of new investment, 400 new jobs, 550 newly built or renovated homes, and a sharp decrease in crime. In late July, we will begin a program that will help distribute 1,500 computers that were given to us from the private sector to needy organizations and persons.

Many higher education officials have contacted me asking that I testify before your committee. While I respect the other Universities that are testifying before your committee, none of them have even come close to the distinguished record of our program which has been featured in the New York Times, Harvard Journal of African American Policy, Planning, Metropolitan Universities and a host of other magazines and journals. I can come up to Washington at a moments notice. I could even provide a slide show illustrating the accomplishments of creating affordable and attractive homes for sale, new businesses and our computer give-away program. The slide show has been given around the world with stops at Harvard, Yale, the White House, US HUD, UC Berkeley, US Department of Education, Princeton, and several foreign countries. Our project called CSUN (Center for Sustainable Urban Neighborhoods) is on the cutting edge of university research and service with a proven record that is unmatched.

Our Center for Sustainable Urban Neighborhoods (CSUN) promotes human and economic development through business/technology training, entrepreneurship training, micro-enterprise lending/incubation, home ownership, crime prevention, and neighborhood planning. Our efforts target non-profit organizations operating within the West End Empowerment Zone. CSUN provides capacity building and expert technical assistance by utilizing student and faculty advisors from a broad range of disciplines in university-community partnership projects. Through CSUN, students and professors experience first hand knowledge of the challenges faced by the poor and promote workable and sustainable alternatives to improve their grim situation. Currently CSUN supports 23 students and 7 faculty members to promote sustainable neighborhood development.

CSUN has created partnerships resulting in $40 million dollars in new economic development activity in the West End. This investment has sparked the development of 550 new or rehabilitated homes and has stimulated the creation of 400 new jobs. These houses follow the planning principles of sustainable neighborhoods: attractive, affordable, accessible homes that incorporate environmentally sensitive architecture, deter criminal activity and respect the diversity of community.

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CSUN has resulted in real changes to real people. In 1996 alone over 500 persons have visited our CSUN offices in the West End to get assistance for food, shelter, health, education, jobs and businesses. In the neighborhood where we place most of our resources, crime has fallen by 45 percent since 1990, while adjacent neighborhoods have seen felonies and misdemeanors skyrocket. These newly woven seams of a once fragmented community have been united to form a viable and livable neighborhood.

Heralded by former Harvard President Derek Bok, CSUN is now recognized around the world as a leader in sustainable development by creating bold, imaginative, responsive and pragmatic university-community partnerships. Thousands of internet explorers, researchers and world citizens have visited our Web site and over 50 presentations about the CSUN "sustainable development" model have been made around the world.

The success of CSUN can be transferred from Louisville's impoverished West End to other neighborhoods throughout the Commonwealth of Kentucky, the United States and the world at large. CSUN has helped create and sustain greater economic development activity throughout the Louisville metropolitan area and the Commonwealth of Kentucky.

We propose to measure the success of CSUN by not only looking out how much grant money was raised in competitive federal grants but by how much economic development activity was leveraged. We estimate that for every one million dollars in grant activity CSUN has generated $10 million dollars worth of new investments, over 100 new jobs, a sharp reduction in crime and increase in educational opportunities. With cutbacks in government programs (from welfare, to housing, to health and even food), new strategies that emphasize sustainable human, community and economic development must be promoted. Sustainable development integrates environmental, empowerment and equity concerns by building partnerships that maximize the resources necessary to build on the human capital of inner city neighborhoods. The University has created the neutral ground where all stake holders can join together to develop the "common ground."

We hope that we can be of some assistance in your hearings and we look forward to the opportunity to testify at your hearings. Please contact me at 502-852-8557 or by fax at 502-852-4558. You might also visit our Web site: http://www.louisville.edu/org/sun
to get more information of what we are all about. Our site includes pictures, a list of products and video clips. We realize that time is short but we are eager to give your committee our views on renewing funding for Title 11. Please call me at your earliest convenience.

Sincerely,

John I. Gilderbloom Ph.D.
Director

cc: Representative Ann Northrup (Louisville, R)

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Sustainable Urban Neighborhoods
Grant Performance Report Project Description

Sustainable Urban Neighborhoods (SUN) promotes human and economic development through business/technology training, entrepreneurship development, micro-enterprise lending/incubation, home ownership, crime prevention, neighborhood planning, and partnerships with community development organizations. In addition to the services we provide to Louisville, we also contribute to the educational integrity of the community through our service learning initiatives; we work diligently with University of Louisville professors and students to create opportunities for applied learning that result in a mutually beneficial and sustainable partnership between the University of Louisville and the greater community. In addition to the university setting, we aim to cultivate volunteer relationships with high school students who seek careers in civil service, engineering, community health, housing and urban planning; for these young people our program offers a creative alternative to traditional activities and juvenile delinquency. With welfare reform new strategies for human, economic and community development must be realized to keep the citizens of the United States competitive in the global marketplace, vital to this process is Sustainable Urban Neighborhoods' comprehensive empowerment model for building partnerships that maximize the resources necessary to build on the human capital of the people of the inner-city.

Working in consortia with public/private partners to maximize their knowledge and resources, SUN initiatives mitigate severe urban problems. To date technical assistance from SUN has helped our partners build 550 residences in the impoverished Russell neighborhood with an additional 48 residences planned for construction and rehabilitation in 1997. Over 500 jobs have been created through SUN related activities. The University - Community partnerships instituted by the Sustainable Urban Neighborhoods grant have stimulated over $40 million in investments to non-profit organizations in Louisville. Over 3,500 referrals have been made by SUN case managers to individuals in West Louisville for shelter, emergency meals/food distribution, financial assistance, health care services, substance abuse services, education/job training, legal services, child care, clothing and other services/needs. Our technical assistance to Louisville Central Community Centers has helped the Business Plus program train over 225 individuals in business planning and development; to date Business Plus has made 33 micro-loans, totaling over $300,000, to micro-entrepreneurs who have completed the 40 hour training program. Several SUN initiatives address the need for increased technology training for inner-city residents through computer tutoring and donation projects, and through exposure to a student designed world wide web site (http://www.louisville.edu/org/sun). Staffed entirely by paid and volunteer students, SUN comprehensively addresses the needs of the community in a way that emphasizes service based learning to create a stronger city and more active citizens.

COVER SHEET

OMB No. 1880-0538
Exp. Date: 10/31/99

U. S. Department of Education
GRANT PERFORMANCE REPORT

1. PR/Award No. (e.g., H185A200211-95)

P252A50211

See Block 4 on your last Notification of Grant Award.

2. Recipient Name and Address:

John I. Gilderbloom, Ph.D.
426 W. Bloom Street, Room 234
University of Louisville
Louisville, KY 40208

Unless address has changed, repeat from Block 1 on your last Notification of Grant Award.

3. Project Title:

Urban Community Service Program: (CSUN): New Programs, People and Places for the Enterprise Community

This should be identical to the title of the approved application.

4. Contact Person:

Name: John I. Gilderbloom, Ph.D.
Title: Project Director
Telephone Number: (502) 852-8557
Fax Number: (502) 852-4558
E-mail Address: jigild01@ulkyvm.louisville.edu

Provide the name and title of the project director or other individual who is most familiar with the content of the performance report. Also include telephone and fax numbers and E-mail address.

5. Performance Reporting Period:

01/01/96 - 06/30/97

This is the time-frame for information requested in Parts III, IV and V on project status and supplementary information/ changes. (See instructions for details.)

6. Current Budget Period:

01/01/96 - 12/31/96

See Block 5 of your last Notification of Grant Award.

Authorized Representative:

Name (Typed or printed): John I. Gilderbloom, Ph.D. Title: Project Director

Signature: [signature] Date: [illegible]

ED Form 524-B

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Sustainable Urban Neighborhoods

Grant Performance Report

HUMAN DEVELOPMENT

GOAL: To promote the acquisition of skills and knowledge among the residents of the Russell Neighborhood and surrounding Enterprise Community to increase their opportunities for economic self-sufficiency.

OBJECTIVES

1. To encourage Service Learning/Community Service by providing information and opportunities for University of Louisville students to be involved with the Sustainable Urban Neighborhoods project.

2. To provide community outreach worker services to 200 neighborhood residents.

3. To encourage computer literacy among the residents of the Russell Neighborhood.

4. To improve success among elementary and high school students in the Russell Neighborhood and surrounding Enterprise Community.

5. Expand information technology resources/use to publicize the non-profit partnership strategy through world-wide information dissemination.

INDICATORS

1.1 **University faculty partnerships.** Extent to which service learning partnerships are established with professors to include service learning requirements in course curriculum to create sustained ties between the university and the community through the application of classroom experience to community need.
1.2 **Student partnerships.** Extent to which students become involved with the SUN project through Service Learning Program (SLP) and as research assistants/volunteers, in a capacity characterized by a mutual exchange wherein the Enterprise Community receives needed assistance in empowerment projects and students gain practical experience in the field of community development.
1.3 **Non-profit partnerships.** Extent to which non-profit partners utilize service learning volunteers for human and economic development projects, home ownership initiatives, community design and planning activities, and crime prevention strategies in a capacity that expands classroom experience to the real world.

2.1 **Numbers of individuals/families served.** Extent to which demand exists for human services, indicated by the numbers of people seeking/receiving services; numbers also indicate the success of program coordinators in promoting the program.
2.2 **Community partnerships.** Extent to which information and referral services create a stronger bond between organizations in a human service network in the Louisville metropolitan area.
2.3 **Quality of case management services.** Extent to which case managers are knowledgeable about existing services available to community members in need. Quantity of individuals/families served by case managers. Extent to which clients feel they receive needed assistance. Extent of community service networks created through case manager outreach to community organizations.

3.1 **Number of clients using recycled computers.** Extent to which individuals are aware of the existence of recycled computer program, characterized by the variety of uses to which the available computers are put - donations to individuals/groups, variety of training programs.
3.2 **Usefulness of recycled computer program.** Extent to which individuals receive computers, and level of training provided to enhance job skills and give individuals a competitive edge in the job market. Records will be kept regarding the organizations which receive computers and how many, individual organizations will track the numbers of individuals who participate in computer training programs.
3.3 **Numbers of computers donated.** Extent to which computers are donated - what organizations are participating, at what technological level do the computers perform, etc.

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3.4 **Variety of programs created to teach computer skills.** Extent to which training programs cover the basics of most widely used computer applications, extent to which computer programs train individuals for computer oriented jobs, variety of programs from word processing to G.I.S. to computer technician training courses. SUN staff will create an evaluation form for organizations receiving computers to catalogue the variety of training operations and the impact of these operations on the community.

4.1 **Number of children receiving assistance.** Extent to which area schools, parents, community organizations, etc., are aware of the services available to the children in need of extra scholastic attention. Variety of services provided to address a broad array of child development needs.
4.2 **Usefulness of the tutoring and instructional assistance.** Extent to which children participating in the tutoring/instructional program demonstrate improved academic and development skills. Extent to which attention to the children addresses needs and aids the parents, the teachers and the child in understanding the unique obstacles to healthy development that each child faces.

5.1 **Development of an internet web site.** Extent to which the site is user friendly and provides clear and timely updates of SUN activities.
5.2 **Usefulness of internet web site.** Extent to which site is viewed by internet browsers. Extent to which site is linked to other web sites pertaining to sustainable development, community revitalization, university-community partnerships, etc. Extent to which site contains interesting information about the project. See: http://www.louisville.edu/org/sun

SOURCE/NEXT UPDATE

Annual performance reports, provider records, agency surveys, student surveys, and project status matrix updates.

STRATEGIES

OBJECTIVE 1

- Encourage professors to incorporate 10-20 hour service learning requirements in course curriculum or service-for-paper requirements to give students the option to explore hands-on application of course concepts.
- Hire students to assist non-profit community partners in empowerment projects including researching and writing year-end reports, creating accessing plans and designs for new homes, creating and maintaining an interactive web site (http://www.louisville.edu/org/sun), as well as tutoring in academics, computer training and job skills development.
- Place students in tutor/mentor roles at Plymouth Community Renewal Center, Brown Memorial Church Computer Center (Project 1), Canaan's Community Development Corporation, Louisville Central Community Centers, and other non-profit groups which need assistance.
- Through Service Learning Program office coordinate and advertise the project to students and faculty.
- Use a survey tool for professors to assess the campus-wide recognition of the program's existence. (Figures not available yet as survey has not been completed).
- Maintain a Service Learning Program web page to advertise to current students and attract potential students to the University of Louisville.

OBJECTIVE 2

- Provide Resident Participation Coordinators for the Community Outreach Program.
- Make financial referrals to 20 community organizations, infant and children's needs referrals to 5 community organizations, shelter referrals to 10 organizations, transportation referrals to 2 community organizations, housing referrals to 5 community organizations, substance abuse referrals to 2 organizations, counseling referrals to 3 organizations, education and employment services referrals to 8 community organization and miscellaneous referrals to area churches, Business Plus, Lion's Club, Center for Accessible Living, Council on Peacemaking, Louisville Central Community Center.
- Continue increasing numbers of community members served to maximize available community resources.

OBJECTIVE 3

- Empowernet recycled computer program initially solicited local businesses and organizations to donate used computers. The first phase of the program was a mass mailing. This initial attempt was unsuccessful in securing donations for our non-profit community partners. However, the latest phase of the project is characterized by a partnership with Innovative Technologies. Working with this organization a program is in the developmental phases which will see the donation of 1,500 computers to residents and community organizations in the West End. Also in the works is a partnership with Service Learning Program to allow students to purchase a used computer for $150 (the price includes computer

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instruction) in exchange for 100 hours of service in the West End. Several of SUN's non-profit partners have developed a variety of computer training courses to which SUN will supply computers as well as tutors.

OBJECTIVE 4

- Tutoring/instructional assistance program - Tutoring programs are offered through the Louisville Central Community Center and Plymouth Community Center. Tutoring is provided for general scholastic need and for dyslexia tutoring as well.

OBJECTIVE 5

- Create web pages for non-profit partners of SUN, include a Service Learning Program web page, highlight all SUN activity with different pages, include a staff directory, include a description of the Ph.D. program in Urban and Public Affairs, include video clips of current events related to SUN initiatives, include articles, reports and papers about SUN. Use students to design the page.

OUTCOMES

- 48 student volunteers provided in 1996 through the Service Learning Program (SLP).
- 725 volunteer hours were served in West Louisville through SLP in 1996.
- A one day can drive sponsored by SLP volunteers generated the donation of over 500 non-perishables.
- 8 organizations in West Louisville received volunteer assistance.
- The SLP web page receives ~5 hits per day.
- 4,035 human service referrals made to date through the Community Outreach Program.
- 780 families served to date through the Community Outreach Program.
- 349 individuals served in 1997 (new tracking methods in 1997 breakdown the families served to indicate exactly how many individuals received assistance) by the Community Outreach Program.
- 1,500 computers offered for Empowernet program.
- 46 hours per week of tutoring assistance provided by SUN staff to non-profit partners.
- Louisville Central Community Center tutor program - 40 students enrolled with 16 students wait-listed.
- Plymouth Community Renewal Center tutor program - Over 300' students have received tutoring.
- 216 hours of volunteer tutoring provided in 1996.
- SUN web site has received over 2,650 visitors both foreign and domestic.

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Sustainable Urban Neighborhoods

Grant Performance Report

ECONOMIC DEVELOPMENT

GOAL: To create an environment that fosters new enterprise development and reinvestment in the Russell Neighborhood and surrounding Enterprise Community.

OBJECTIVE

1. To encourage small business ownership through a program of entrepreneurship training serving 40 prospective entrepreneurs.

2. To develop and train 40 neighborhood residents to be effective business managers.

3. To provide financial capital for 20 business start-ups through micro-lending.

4. To prepare a total of 40 minority and/or women residents for careers as building contractors or in construction trades.

5. To facilitate the start-up and survival of ten new local enterprises or non-profit development corporations through small business incubation.

6. To prepare 50 individuals to identify and access sustainable community development for the target area.

7. To increase the opportunities for minority owned business to expand their markets and client base.

INDICATORS

1.1 **Number of residents attending Entrepreneurship Training course.** Extent to which course is well publicized and targets the appropriate audience. Extent to which SUN and its affiliates spark an interest in and understanding of entrepreneurship and demonstrate to the community the possibilities of self-employment and the value of the cultivation of a business ideas/skills.
1.2 **Quality of course.** Extent to which the course content clarifies the elements of developing a cohesive business plan. Level of understanding participants develop in terms of realizing their potential as entrepreneurs. Extent to which the course adequately prepares the participants for self-employment.
1.3 **Number of participants who start a business.** Extent to which course helps individuals realize the skills and effort necessary to start a business. Numbers of individuals who successfully develop a business plan, secure lending if needed, create networking relationships in the business community, implement the business plan and run a business. Numbers of individuals who decide after the course that entrepreneurship is the wrong course for them yet apply the business planning and development skills learned to the business world in order to secure higher wage jobs, make business connections, and improve their overall business savvy.

2.1 **Number of participants in Small Business Training program.** Extent to which residents are aware of the program offerings and ability of individuals to gain access to the program. Effectiveness of program marketing strategy in attracting those individuals who will benefit most from the program. Methods used to determine who is best served by the program.
2.2 **Quality/usefulness of training.** Uses to which individuals put the skills acquired through training program. Extent to which individual is committed to the program. Numbers of potential employers, lending institutions, community organizations who form relationships with graduates of the training program. Esteem with which the program is held in the greater business community.

3.1 **Number of micro-loans made.** Extent to which participants completing 40 hours of training received loans out of all who applied and contrasted to those individuals who did not apply for loans. Total amounts of loans made and distribution of loan ranges ($1,500 - $25,000).
3.2 **Number of start-up businesses receiving loans.** Those individuals receiving loans for new business ventures and the jobs created through such start-ups. Amounts of loans made for start-up operations.

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3.3 Distribution of micro-loan uses. Extent to which loans are classified as Industrial/Commercial, Commercial Service, Invention/Manufacturing, Business Services, Personal Service, Technology Service/Retail, Retail/Specialty, Food Service/Retail, Art/Craft Manufacturing/Retail, Wholesale/Distributors, or Other.
3.4 Usefulness of micro-loan program. Measured by the number of jobs created/retained, number of investments stimulated in the Enterprise Community as a result of new business developments and economies of agglomeration, number of networks created with lending institutions.

4.1 Number of residents trained. Extent to which program is advertised and targeted to appropriate community members. Extent to which scheduling of the course accommodates the scheduling needs of the majority of trainees.
4.2 Number of participants who become building contractors. Extent to which trainees develop the skills necessary to become successful independent contractors. Extent to which contractors develop ties to the construction trades community, including the number who apply their work to the Enterprise Community.
4.3 Number of participants who find work as construction trades people. Extent to which networks are established throughout training program with construction industry employers who seek individuals trained by the program.
4.4 Quality of training. Extent to which the participants develop the skills necessary to become construction tradespeople. Instructor preparedness and relevancy of course content to maneuvering in the construction industry are key factors to the success of the trainees. Commitment from the individuals to the course demands is another key component.

5.1 Number of local enterprises housed in incubation facility
5.2 Number of local enterprises served by affiliates program.
5.3 Number of new jobs created.
5.4 Survival rate of incubated businesses and development corporations.
5.5 Quality of incubation services.

6.1 Number of participants in workshop.
6.2 Number of grant proposals written.
6.3 Number of grants received.
6.4 Total amount received.
6.5 Quality of the workshop.

7.1 Number of persons requesting directory. Extent to which directory is disseminated throughout the community, accessibility of the directory to large audience. Knowledge of the existence of a business directory
7.2 Number of businesses listed in the directory. Extent to which directory is regularly updated and revised and kept in the public purview.
7.3 Quality of service. Extent to which the business directory increases the success of businesses in the directory. Extent to which the directory is supplied to the target audiences of the service agents and suppliers contained therein.

SOURCE/NEXT UPDATE

Count of registrants, provider records, client surveys, status matrix, annual evaluation.

STRATEGIES

OBJECTIVE 1

- Entrepreneurship training - Partner with CCDC to teach individuals the components of entrepreneurial success including the characteristics of entrepreneurs, formulating business venture ideas, basic principles of management and organizing, development of business plans, basic marketing and business promotion, and the essentials of small business accounting among other topics.
- Design course structure to build weekly on the elements of the business plan to retain participants throughout duration of the course.

OBJECTIVE 2

- Business Plus training program - Coordinated by LCCC, Business Plus trains individuals in best business practices and provides technical assistance in business planning and development to micro-entrepreneurs. A 40 hour training curriculum is offered to individuals seeking certification to apply for the micro-business loans offered through Louisville Central Development Corporation (LCCC's sister organization that absorbs the lending risk).

OBJECTIVE 3

- Micro-business lending program - Coordinated by LCDC, the micro-loan program funds certified applicants, who have

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completed 40 hours of training in business planning and development, for micro-loans which range from $1,500 to $25,000. Loans are categorized as direct or structured as peer group loans. A $250,000 grant from the Small Business Administration funds the majority of the loans made, and $118,700 was secured locally through traditional public and private sources. SUN has provided administrative support and technical assistance to the program that has substantially contributed to increasing the funds available to loan applicants.

OBJECTIVE 4

- Minority and Women Contractor Training - Coordinated by Neighborhood Development Corporation, the 1997, 18 week course (expanded from the 1996 course length of 14 weeks) prepares individuals for careers as construction contractors. SUN staff, in addition to business/community leaders, provide instruction and technical assistance to course attendees

OBJECTIVE 5

- Work with the City of Louisville to provide technical assistance to create a business incubator for Louisville. Dr. Tom Lyons serves as a member of the Board of Directors of the Louisville Enterprise Group, the business incubation arm of the Louisville Community Development Bank. Dr. Lyons assists in setting policy and overseeing activity for the incubator. Construction is underway to renovate the incubator facility. However, technical assistance services are being provided to businesses in need outside the facility.

OBJECTIVE 6

- Workshops on resources for creating sustainable development. Agenda items for these workshops included affordable/attractive housing, grant writing skill development, community partnerships, and entrepreneurial development. The 1997 Grant Writing workshop included a simulation exercise to familiarize participants with the grant writing process.

OBJECTIVE 7

- Minority business directory containing 700+ entries displayed on the SUN web site. Updates made regularly by the Louisville Office for Economic Development.
- SUN staff are tracking the businesses started through the Business Plus program and the Women and Minority Contractor Training and other sources to include on the updated directory.
- Target local business magazines/newspapers to have directory published widely to a target audience.
- Create a hard copy of the directory for distribution.
- Tracking mechanism needed to determine the effects of the directory on minority owned businesses.

OUTCOMES

- 35 individuals enrolled in CCDC's (Canaan's Community Development Corporation) 1996 Entrepreneurship Training course.
- 18 of individuals graduated CCDC's Entrepreneurship Training course in 1996.
- 20 individuals enrolled in CCDC'sEntrepreneurship Training course in 1997
- 321 individuals have received business planning and development training and/or technical services from Business Plus to date.
- 28 business and community leaders volunteered 396 hours of service in their fields of expertise to the Business Plus program.
- 33 micro-business loans made through Business Plus totaling $300,600 in 1996.
- The Business Plus loan repayment rate of 97.55% is over 5 percentage points above the national average.
- SUN administrative support allowed 9 more clients to participate in the Business Plus program in 1996.
- 1996 - 20 students enrolled in the Women and Minority Contractor Training, 10 graduated and 6 formed new contracting firms (one of whom secured a $750,000 electrical contract for the new University of Louisville stadium)
- 1997 - 30 students enrolled in the Women and Minority Contractor Training, 15 were wait-listed, and 26 graduated
- Partnerships have been formed with Shore Bank and SPEDD to consult on the development of a business incubator in Louisville.
- Kevin Klingman, who ran a model incubator in Omaha, Nebraska, has been hired as the new president.
- Plus Market Grocery and Drug is the first business to receive incubator services in marketing strategy development.
- SUN co-sponsored a workshop entitled "Challenges and Opportunities: How to Preserve Federally Assisted Housing in Your Community" with The U.S. Dept of Housing and Urban Development
- SUN sponsored a KIESD (Kentucky Institute for the Environment and Sustainable Development) lecture series which featured presenter Marilyn Melkonian, developer of the 35 million dollar City View Park, which will provide 500 housing units to our target area.
- The 1996 and 1997 Grant Writing workshops had a total attendance of over 133 people.
- The Minority Business Directory was displayed at the 1996 Black Expo.
- The Minority Business Directory is scheduled to be displayed at the State Fair

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- The Minority business Directory is displayed on the SUN web site which has received over 2,650+ hits to date.
- The directory is currently being updated to include businesses started through Business Plus and the Women and Minority Contractor Training and other sources.

Sustainable Urban Neighborhoods

Grant Performance Report

HOME OWNERSHIP

GOAL: To improve the availability, affordability and quality of housing in the Russell Neighborhood and surrounding Enterprise Communities

OBJECTIVE

1. To increase home ownership through the development of 80 affordable new low and moderate-income owner-occupied housing units.

2. To provide information, counseling, and assistance in locating financing to 200 potential home buyers seeking to move from renter to home owner status.

3. To provide mediation services for the resolution of 25 rent and tenancy disputes between landlords and individual tenants.

INDICATORS

1.1 **Number of new low- and moderate-income housing starts.** Extent to which construction supports the needs of families/individuals seeking to purchase a home in West Louisville. Extent to which new homes are affordable to interested buyers.
1.2 **Number of non-profit housing developers assisted.** Extent to which partnerships are formed and maintained between the university and non-profit groups to maximize resources available to housing developers in the Enterprise Community.

2.1 **Number of households receiving counseling.** Extent to which community residents are aware of counseling services.
2.2 **Number of Home Ownership Fair attendees.** Quantity of participants. Extent to which participants demonstrate target audience demographic as potential home owners in the Enterprise Community.
2.3 **Quality/usefulness of information provided.** Extent to which counseling course and Home Ownership Fair spotlights comprehensively the required steps to home ownership that individuals must follow.
Provider records, status matrix, annual evaluation

3.1 **Number of renters counseled.**
3.2 **Number of disputes resolved.**
3.3 **Quality of mediation assistance.**

SOURCE/NEXT UPDATE

Provider records, count of registrants, client surveys, status matrix, annual evaluation

STRATEGIES

OBJECTIVE 1

- Housing development - provide technical assistance (ranging from replatting lots, redesigning lots/houses, creating design plans, creating alternative site layouts, to making site visits to oversee construction) to non-profit developers. Assist community developers in understanding the State of Kentucky's 106 design requirements. SUN provides direct assistance through community design work and technical support through such areas as architectural services, interfacing with regulators, and helping developers adhere to the Urban Renewal Commission's rules and regulations governing housing development in an urban renewal area.

OBJECTIVE 2

- Sponsor first time home buyers to attend counseling course through Frank Clay Realty. The course emphasizes the advantages of home ownership, introduces the language of real estate, instructs how to get the most house for your dollar, teaches how to clean up credit problems and illuminates the keys to securing a home loan, among other topics. Record keeping has been improved to account for the numbers of individuals attending the course, however improvements are still

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needed to better track those individuals who buy homes upon completion of the course.

- Co-sponsor the Home Ownership Fair. The fair will provide attendees with abundant information about homes for sale in the West Louisville area, loan programs, and services. The 1997 fair included 5 bus tours (6 stops and 8 drive-bys) of new homes for sale in the Enterprise Community. 37 booth holders ranging from lending institutions and Realtors to developers and non-profit housing organizations contributed to the fair's success in providing comprehensive information about the path to home ownership.

OBJECTIVE 3

- The Landlord/Tenant Dispute mediation program has faced significant obstacles including the following: 1. Insufficient numbers of African American law students to facilitate mediation in the predominantly African American target area, 2. Lack of interest in mediation services by landlords, and 3. Lack of resources to support the staff necessary to oversee/maintain the program. New strategies are in the works to eliminate the above barriers including: 1. Exploring ways to encourage the participation of African American law students, 2. Expanding the service area to the larger West End area, 3. Networking with organizations that might have a need for the services, 4. Exploring the viability of hiring a community liason to cultivate an awareness of the program in the neighborhoods, 5. Drafting an informational letter to publicize the service, and 6. Developing other methods of providing the service.

OUTCOMES

- Homes built in 1996:
  - CCDC - 5 units
  - NDC - 3 units
  - LCDC - 9 units
  - NHS - 8 units
  - STEDCO - 5 units
- Homes projected for construction in 1997:
  - CCDC - 3 units
  - NDC - 15 units
  - LCDC - 14 units
  - NHS - 8 units
  - STEDCO - 8 units
- The Home Ownership Counseling course has been used as a model for similar programs by the National Association of Real Estate Brokers and has been selected by Fannie Mae to be part of its demonstration Desktop Home Counselor Program
- 160 individuals participated in the Home Ownership Counseling course in 1996 (Approximately 60-65% of these individuals bought homes upon completion of the course). 72 individuals have attended from January to April 1997.
- The 1996 Home Ownership Fair was held in conjunction with St. Stephen's Jubilee and had over 20,000 - 50,000 participants; however these individuals were not a target audience. In 1997, a direct mailing to 8,000 renters in 7 zip codes, age 18-45 with a gross income of $12,000 to $45,000 and who owned a telephone was utilized to attract only prospective home buyers. The 1997 fair attendance was over 200 potential home buyers. $3,000 was awarded to a fair attendee to be used solely for a down payment or closing costs on a house; until the winner of the prize closes on a house the money will be held in a community CD at the Louisville Community Development Bank with accrued interest returning to the community.
- 8 students have been trained by Just Solutions in dispute mediation.

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Sustainable Urban Neighborhoods

Grant Performance Report

CRIME PREVENTION

GOAL: To increase the awareness of crime prevention strategies among Russell residents and their ability to change the physical environment to create a safer neighborhood.

OBJECTIVE

1. To educate 50 neighborhood residents about crime prevention strategies and technologies.

INDICATORS

1.1 **Number of residents attending Crime Prevention Through Environmental Design workshop.** The extent to which community residents, leaders and activists participate in the program and spread the information to community groups and residents to catalyze a change in the physical characteristics of the Enterprise Community that contribute to criminal opportunity. The number of individuals who receive certification in CPTED by the National Crime Prevention Institute.
1.2 **Number of residents taking proactive measures.** The ways in which CPTED-certified individuals use their training to influence residents to change the neighborhood character of the Enterprise Community.
1.3 **Types of physical change acheived.** Extent to which physical forms of new developments and retro-fits of existing structures incorporate the design principles of defensible space and natural surveillance.
1.4 **Number of crimes in neighborhood.** Extent to which crime rates decline and extent to which these decreases can be correlated to development efforts in the area.
1.5 **Types of crime in neighborhood.** Correlation of criminal activity in the area to demographic factors that influence these characteristics.
1.6 **Location of crimes in neighborhood.** Correlation between spatial information with statistical data that provides a visual understanding of location/type of criminal activity in the Enterprise Community. Extent to which this information spurs remediation/intervention activities.
1.7 **Quality of workshop.** Extent to which the workshop provides comprehensive information about the design criteria of defensible space/natural surveillance in an easy to understand context.
1.8 **Number of people receiving "hot spots" map.** Extent to which the appropriate demographic gains access to the information contained in the maps.
1.9 **Usefulness of "hot spots" map.** Extent to which the maps ignite political and social discourse and action to uncover and eliminate the root causes of the concentrated criminal activity in the area.

SOURCE/NEXT UPDATE

Provider records, client surveys, status matrix, annual report, observation, police records

STRATEGIES

OBJECTIVE 1

- Sponsor neighborhood residents, activists and leaders to attend the National Crime Prevention Institute's (NCPI) 40 hour training course in Crime Prevention Through Environmental Design focusing on the principles of defensible space and the techniques for creating natural surveillance. A new program is in the works to apply course information to housing development; the new course will be shorter in length and will not emphasize the law enforcement aspects of the NCPI course. The goal for the new course is to create a model for training on the subject of inner-city housing development that illustrates the importance of design features in creating viable, crime-deterrent neighborhoods.
- Using geographic information systems technology create crime and drug activities "hot spots" map that illustrate the spatial location of homicides (by age), rapes, suicide rates (by age), low birth weights, teenage pregnancy birth rates, cancer death rates, crude death rates
- Organize neighborhood block watch groups. The block watch program has been delayed due to the loss of the program coordinator.

OUTCOMES

- SUN sponsored a Crime Prevention Through Environmental Design (CPTED) workshop which attracted 20 individuals. 13

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graduated and received certification from NCPL.
- 8 GIS maps (currently displayed on the SUN web site) were created illustrating the disproportionate problems plaguing West Louisville which create significant obstacles to community efficacy.

Sustainable Urban Neighborhoods

Grant Performance Report

PLANNING

GOAL: To improve the quality of life in the enterprise community neighborhoods through community based planning.

OBJECTIVE

1. To generate a shared community and neighborhood vision through "bottom-up" participation by at least 50 residents.

2. To coordinate a community partnership strategy to facilitate plan implementation by instructing a minimum of 10 individuals/non-profit organizations in understanding the permitting process.

3. To provide practical assistance in the physical development of the neighborhood to 60 individuals, non-profit organizations, builders or developers.

4. To educate 50 neighborhood residents as to how the urban physical environment impacts local quality of life.

INDICATORS

1.1 **Number of residents participating in the planning process.** Measured by the number of opportunities made available to residents to voice their opinions about the future character of the neighborhoods and the extent to which residents are consulted throughout the decision making and design processes.
1.2 **Production of a neighborhood comprehensive plan.** Extent to which residents and technicians develop a realistic, workable outline for future redevelopment efforts in the neighborhood. Extent to which neighborhood plan is used as a guide for future projects in the area.
1.3 **Quality of participation.** Extent to which residents are encouraged to participate and develop a vested interest in the nature of development activities in the area. Extent to which university technical assistance in conjunction with the non-profit partners guides residents through the planning process to cultivate educated participation.
1.4 **Quality of the plan.** Feasibility of plan implementation. Extent to which plan guidelines adhere to zoning codes and protect historical and cultural characteristics of the area. Extent to which the plan contributes to increasing the livability of the area through increasing the housing stock, access to transportation, increasing the principles of natural surveillance/defensible space and preserves green space and other areas for pedestrian activity including the development of creative, mixed-use guidelines for commercial/residential development.

2.1 **Success in building implementation partnerships.** Extent to which partnerships formed are sustained past the initial objectives to develop a network of mutually supportive community development agencies who work together to maximize resources available to the residents of the inner-city and who in these activities create a model of cooperative economics. Extent to which partners understand the permitting process and become adept at maneuvering through this process to successfully implement their projects.
2.2 **Number of individuals assisted.** Quantity of individuals who become familiar with the permitting process, as well as the number of individuals who become part of the partnership strategy network. Extent to which these individuals reflect a diverse mix of interests in redeveloping the West End.
2.3 **Number of non-profit groups assisted.** Extent to which the partnership strategy targets and involves a diverse group of non-profit entities in the West End. Lengths to which these groups catalyze community action and awareness among residents and civic leaders.
2.4 **Quality of assistance.** Extent to which the technical assistance and administrative services of SUN staff have contributed to a broad understanding of the permitting process and extent to which an atmosphere of cooperation has evolved between community organizations, residents and leaders.

3.1 **Number of site plans and neighborhood master plans produced.**
3.2 **Quality of plans produced.** Extent to which the plans produced have been implemented and contributed to a heightened sense of livability in the West End.
3.3 **Number of clients served.** Quantity and diversity of individuals served.

3.4 **Number of builders and developers receiving technical advice.** Extent to which partnerships are created with developers to assist in the process of rebuilding the West End in a manner that respects efficiency in time, resources and money.
3.5 **Quality of technical advice.** Extent to which technicians have adequate training and professional experience to offer sound advice and services. Extent to which advice given leads to improvements in the building and development processes.
3.6 **Number of clients receiving design instruction.**
3.7 **Quality of design instruction.** Extent to which designs implemented hold up over time. Number of designs created. Extent to which design skills are disseminated throughout development agencies.
3.8 **Number of clients benefitting from ADC community outreach.** Quantity and diversity of clientele/outreach projects.
3.9 **Quality of outreach program.** Extent to which outreach program aids community development.

4.1 **Number of conference participants.**
4.2 **Quality/usefulness of conference.** Diversity of topics covered and application of topics to concerns in the West End.

SOURCE/NEXT UPDATE

Provider records, client surveys, status matrix, annual report, focus groups, interviews, professional review, count of registrants.

STRATEGIES

OBJECTIVE 1

- Neighborhood plan - Coordinated by Michaele Pride-Wells and David Mohney with funding from SUN, the University of Kentucky's College of Architecture Downtown Design Center (DDC) works with community organizations and members to create neighborhood design plans

OBJECTIVE 2

- Neighborhood partnership strategy - SUN provides assistance to our non-profit partners as they maneuver through the permitting process on a continual basis. As the program grows the focus of the partnership has shifted to creating a sustainable partnership past the life of the SUN grant. Emphasis has been placed on better communication, information sharing regarding the different projects of the partners, reduction in overlapping offerings to better serve the community.

OBJECTIVE 3

- Development planning
- Technical/consultancy services: replatting lots, redesigning lots/houses, design plans for houses, alternative site layouts, site visits to oversee construction, and other applicable services.
- Applied Design Center: provide students with opportunity to apply classroom activities to urban projects and provide non-profit groups with valuable technical assistance.

OBJECTIVE 4

- Communities and Their Physical Environments Conference - The *1996 Small Cities Conference* was held at the University of Louisville. Pertinent to SUN was a focus on urban brownfields reclamation.

OUTCOMES

- Spring 1996 - Russell Neighborhood Study. Directed by Professor Mark O'Bryan, a class of UK architecture students studied existing and past physical conditions of the West Louisville Russell Neighborhood. They developed a series of proposals for revitalization of both residential and commercial uses (and public and private property) in the area bounded by 18th Street, Market Street, Muhammad Ali Blvd., and 28th Street. These ideas were subsequently used to guide scattered site development through the SUN program.
- December 1996 - January 1997 - LCCC Mini-Versity. The DDC provided schematic design services for expansion and remodeling of a child care facility to house 150 children, ages 6 months to 5th grade, following a *name the child care/education philosophy* model. The DDC provided planning and building code research to enable LCCC to secure project funding, identify local architectural services, and meet a very tight time schedule. Issues included ADA/handicapped access compliance, state licensing requirements for child care facilities, conversion of offices and community rooms to classrooms, and phased development to address immediate needs and accomodate funding cycles
- Spring 1997 - Walnut Street. The DDC joined SUN in assisting LCDC to conduct a series of community history and design workshops from April 11-19. This "charrette" engaged community, university and local professionals in a collaborative urban design process. The revitalization of Village West (now called City View Park) and the Mall presents an opportunity to commemorate Walnut Street, while incorporating the needs of today. Students, faculty, design professionals, and other

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volunteers continue to collect the neighborhood's vibrant past-through interviews, newspaper clippings and photographs-initiating an ongoing, interactive exhibit. This research sets the context for planning the future of the Mall, itself, addressing specifically the urban design of the Mall and its site, and the relationship of the Mall to the uses around it.

- Quarterly partnership strategy meetings have been instituted.
- Mark T. Wright created a manual for the West Louisville permitting and site design process. The manual is being converted to CD rom format to be used by are non-profit developers and other interested individuals.
- SUN sponsored the certification of 13 residenta and community leaders/activists in Crime Prevention Through Environmental Design through the National Crime Prevention Institute
- Architect Mark T. Wright works 10-15 hours per week with LCDC providing technical assistance.
- Architect Michael Brazely provides technical assistance to CCDC.
- John I. Gilderbloom provides consultant services to LCDC and CCDC
- SUN operated informational booths at the 1996 and 1997 Home Ownership Fairs.
- Through Mark T. Wright's Applied Research Center (renamed Applied Design Center) students from UK created the plan to renovate Kennerly Liquors into apartments, created the initial design for the 16th and Cedar request for proposals, and designed a daycare facility for LCCC.
- The *1996 Small Cities Conference* , entitled "Communities and Their Physical Environments" attracted over 200 participants from around the United States, as well as from abroad.
- Edited proceedings volume of the *1996 Small Cities Conference* is to be published in 1997.

NDC

Neighborhood Development Corporation

A Non Profit Housing Developer

June 9, 1997

Dr. John I. Gilderbloom
CO-Principal Investigator
University of Louisville
SUN
Urban Studies Institute
426 West Bloom Street
Louisville, KY 40208

Dear John,

I am writing to inform you of the progress of our SUN sub grant #95-703-02 for the period of January 1, 1997 to June 3, 1997.

From January to April, Frank Clay has counseled 72 students in his "How to Buy a House" program.

The Affordable Housing Fair was held May 31 at Central High School. There were 37 booth holders, representing area lenders, Realtors, developers, etc. There were 5 bus tours held to affordable housing sites, with 6 stops at houses for sale, and 8 drive-bys. A copy of the handout given to all fair participants is enclosed. Educational seminars were also offered. Approximately 200 potential homeowners attended the fair.

The Fair was advertised using a targeted direct mailing, point of purchase displays, and newspaper ads. Ken Snyder Associates produced the advertising. Almost 8000 postcards were mailed out to renters between the ages of 18 and 45 with incomes between $12,000 and $45,000, who owned telephones. Here is the breakdown of mailings:

QUANTITY	ZIP CODE	PRICE
1,388	40204	$1100.68
1,872	40206	$1484.50
1,009	40207	$800.14
460	40210	$364.78
786	40211	$623.30
631	40212	$500.38
1,663	40216	$1318.76

Enclosed is a list of all who registered for the grand prize of $3,000.00. This money is to be used only for a down payment and or closing costs on a home. The winner is Deborah Cornelius. The money is being held at the Louisville Community Development Bank in a community CD, with all interest going to the community. When Ms. Cornelius is ready to close, the CD will be closed and the money will be turned over. We will be meeting with Ms. Cornelius on June 10 to help her in her home buying process.

The Women & Minority Contractor Training Program accepted 39 applications this year. Of these 39, 11 dropped or did not show, while 28 went on to finish the course. Of the 28, 2 students missed more than 5 classes, so they did not receive a certificate of completion. 26 students successfully completed the

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NDC

Neighborhood Development Corporation

A Non Profit Housing Developer

program. Enclosed is a list of the students, as well as the instructors. I am including copies of their evaluations of the program. The comments are insightful.

The course ran from January 14 to June 3, meeting on Tuesdays from 5:30 to 8:00. Most classes ran over. The session on Marketing Strategy went until 9:20, and should be broken into two sessions the next time. If possible, when planning for the next course, try not to schedule financial matters around tax time. Also, attendance dropped off after Derby, so the course should be finished by then. A possible solution would be to meet twice a week for 9 weeks. This would give more continuity to the program, as well as help to develop relationships among the students.

The syllabus should be sent to every presenter prior to their session, so that they can see what has already been covered, or what will be covered, to help avoid duplication. Also, if we can give them more information about the students, then they can gear their presentations to fit the needs of the class.

The students were given binders to hold all the materials passed out in class. They were very useful, but ended up being too small. I recommend at least a 3 inch size binder for the next session. Not every handout was three hole punched, and I recommend getting a heavy duty three hole punch. SUN has a copy of handouts in their own binder.

The University has been fantastic in their support of these programs. Without SUN's support, the programs would not be successful. If more information is needed, please do not hesitate to call.

Sincerely,

Edie Mahaffey

Edie Mahaffey
Program Coordinator

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St. Stephen Economic Development Corporation (STEDCO)
1008 South 15th Street
Louisville, KY 40210

June 20, 1997

John I. Gilderbloom, Ph.D.
SUN Project Director
Center for Urban and Economic Research
University of Louisville
Louisville, KY 40292

Dear Dr. Gilderbloom,

St. Stephen Economic Development Corporation (STEDCO) is a non-profit subsidiary of St. Stephen Baptist Church. STEDCO's goal is to increase the quality of life for families in the California Community (which is the second poorest community in Jefferson County). STEDCO builds affordable single family homes for low to moderate income families. St. Stephen provides STEDCO with office space, computer equipment, supplies, utilities and janitorial service.

The SUN grant helps us to reach our goal by providing us with a part-time administrative assistant which helps us do the following:

1. Provide assistance to those who are interested in purchasing a STEDCO home.

   A. Establish purchasing power, affordability - income vs. monthly income

   B. Credit worthiness/qualifying

   C. Preview plans/designs and lot selection

   D. Mortgage application - apply for loan

   E. Contract agreement between builder and buyer

   F. Homeowners insurance

   G. Closing - signing of final documents

2. Provide an awareness to California Community residents of the opportunities available in job training, education and economic empowerment programs.

   A. Job Connections (Travel & Job Center Training, Counseling/Referrals and Job Placement)

   B. Home Maintenance and Rehabilitation

   C. Starting Your Own Business

   D. Estate Planning

   E. Developing a Savings Program

The SUN grant has been very beneficial to us in achieving our objectives to serve the community in creating homeownership and promoting economic development.

The five homes which were under construction during 1996 has been completed and sold.

STEDCO will build six more homes, construction will begin July 1, 1997 and completion date is targeted September, 1997.

When these homes are completed, STEDCO plans to build six more homes in 1997.

If you have any questions, please contact me at 583-6798.

Sincerely,

Laken Cosby, Jr./bth

Laken Cosby, Jr.
President

LC/bth

Canaan's Community Development Corporation

"Lifting Others As We Lift Ourselves"

President & CEO
Dr. Walter Malone Jr.

Executive Director
Saundra Calvin

June 18, 1997

John I. Gilderbloom, Ph.D
CO-Principal Investigator
University of Louisville
Sustainable Urban Neighborhoods
Urban Studies Institute
Louisville, KY 40292

Dear John:

Board of Directors

Marie Brown
Ezra Chapman
Georgy Dorsey
Shirley Gatto
Eugene McCormick
Wanda Pitts
Norma Shelby
Benjamin Shobe

SUN continues to work in partnership with CCDC to provide meaningful programs for persons in our community. Our Second Annual Grant Writing Workshop in April was another big success with over 50 persons in attendance.

Assistance continues to be given from your students towards our many housing initiatives. Architectural drawings are being developed for housing renovation, the conversion of a large meeting room into a dance studio for our performing arts program for inner city youth and, of course, our *Russell* neighborhood project. If possible we would like to receive help on at least two more projects this year.

We will begin our second Entrepreneurship Workshop this month and look forward to a successful session. Enrollment is good again for this year's classes. Dr. Bruce Kemelgor has agreed to serve as instructor for the workshop again this year and I'm looking forward to working with him once more.

I'm excited about the launch of the latest SUN project! This computer training/purchase program will enrich the lives of many families over the next few month. I believe we can make a difference in many homes by making computers available for purchase.

I appreciate the opportunity to work in partnership with you and the staff of SUN and look forward to continuing our relationship.

Sincerely,

Saundra Calvin
Executive Director, CCDC

CCDC • 2203 Dixie Highway • Louisville, Kentucky 40210 • Phone (502) 776-6369 • FAX (502) 774-9953

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June 12, 1997

John I. Gilderbloek, Ph.D
Director, Sustainable Urban Neighborhoods
Urban Studies Institute
University of Louisville
Louisville, Kentucky 40292

Dear John:

Neighborhood Housing Services of Louisville, Inc. (NHS) is a private nonprofit organization which revitalizes older urban neighborhoods through housing rehabilitation, capital improvements, new construction and projects which develop neighborhood pride. NHS is part of a national network of organizations which are improving more than 173 communities in more than 146 municipalities in 44 states across America.

We began working in the Shawnee neighborhood in 1979, expanded services to include Parkland, and in 1992 extended services to Russell, Shelby/Jackson and South Louisville. In 1994, we expanded our services to include Chickasaw and small areas in the California and Park Hill communities.

SUN has provided NHS with architectural services for site locations in the Parkland area of West Louisville. Your program has also assisted our staff in the development of grant proposals in 1996 and 1997. We are completed satisfied with the partnership we have with SUN and hope that its funding is secured for our 1997 programs and beyond.

Sincerely,

Queenie C. McBride
Operations Manager/Deputy Director

/qcm

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UNIVERSITY OF KENTUCKY

Downtown Design Center

Michaele Pride-Wells, AIA, Director
College of Architecture • 117 Pence Hall
Lexington, Kentucky 40506-0041
tel: 606.288.0059 fax: 606.288.4751

17 June 1997

John Gilderbloom, Ph.D., Director
Sustainable Urban Neighborhoods
University of Louisville
Louisville, KY 40292

re: 18-month report

Dear John:

I am pleased to submit this progress report for the participation of the UK Downtown Design Center (DDC) During the past 18 months, we have launched the DDC with significant help from the SUN partnership and support. We have engaged in 3 primary activities and projects on behalf of the SUN program and its partners:

Russell Neighborhood Study (Spring 1996):

Directed by Professor Mark O'Bryan, a class of UK architecture students studied existing and past physical conditions of the portion of the Westend, Russell Neighborhood. They developed a series of proposals for revitalization of both residential and commercial uses (and public and private property) in the area bounded by 18th Street, Market Street, Muhammad Ali Blvd. and 28th Street. These ideas were subsequently used to guide scattered site development through the SUN program.

LCCC Mini Versity (Dec 96–Jan 97):

The DDC provided schematic design services for expansion and remodel of a child care facility to house 150 children, ages 6 months to 5th grade, following a *name of the child care/education philosophy* model. The DDC provided planning and building code research to enable LCCC to secure project funding, identify local architectural services and meet a very tight time schedule. Issues included ADA/handicapped access compliance, state licensing requirements for child day care facilities, conversion of offices and community rooms to classrooms, and phased development to address immediate needs and accommodate funding cycles.

Walnut Street (Spring 1997)

The University of Kentucky Downtown Design Center joined the University of Louisville Sustainable Urban Neighborhoods (SUN) program in assisting the Louisville Community Development Corporation to conduct a series of community history and design workshops from April 11–19. This "charrette" engaged community, university and local professionals in a collaborative urban design process.

The revitalization of Village West housing and Mall presents an opportunity to commemorate Walnut Street, while incorporating the needs of today. Students, faculty, design professionals and other volunteers continue to collect the neighborhood's vibrant past—through interviews, newspaper clippings and photographs—initiating an ongoing, interactive exhibit. This research sets the context for planning the future of the Mall itself, addressing specifically the urban design of the Mall and its site, and the relationship of the Mall to the uses around it.

It has been a pleasure to work with the SUN program and its partners. We look forward to continued, furtive collaboration. If you have any further questions about our activities, please feel free to contact me.

Sincerely,

MPride-Wells

Michaele Pride-Wells, AIA
Director

LCCC, INC.
LOUISVILLE CENTRAL COMMUNITY CENTERS, INC.
1015 W. Chestnut St., Louisville, Kentucky 40203 (502) 583-8821
Community Center | Mini-Versity Early Childhood Learning Center | Family Life Center

June 18, 1997

John I. Gilderbloom, Ph.D.
Director, Urban Studies Institute
Sustainable Urban Neighborhoods
University of Louisville
Louisville, KY 40292

Dear Dr. Gilderbloom:

We are please to report that the 1996 University of Louisville Sustainable Urban Neighborhoods (SUN) grant of $55,155 has provided us with the capacity to improve and expand our service delivery to residents of the City of Louisville's Empowerment Zone.

Our housing and neighborhood development program, with assistance from SUN through the work of Mark Wright, Architect, and the University of Kentucky School of Architecture Downtown Design Center, completed nine affordable houses and sold four, completed plans for th construction of four model homes ranging from $85,000 to $120,000, completed preliminary plans for the renovation of a child care center and started the plans for a development of the first "town square" facility in the empowerment zone for a multi-purpose commercial, cultural and family services center of over 45,000 square feet.

The crime prevention efforts have provided mix results thus far. We have been instrumental in helping to mobilize neighborhood and corporate leaders around community concerns such as crime and neighborhood improvement. East Russell Business Association should complete its initial planning and organizational work by the middle of 1997. This planning process will include the expansion of the block watch program committed to last year.

Using the 1995 evaluation by the University and with support of other organizations, we have been able to increase the number of microenterprise business loans, both start-up and expansion, and technical assistance. In addition, with able assistance from Dr. Tom Lyons, Co-Principal Investigator of SUN, our Business Plus program has made $330,000 worth of loans to 18 individuals. We also have provided entrepreneurship training and assistance to scores of individuals.

We have reached out and encouraged resident participation by providing social services and referral services to over 1,300 persons living in the empowerment zone. These services have included small business training, crisis intervention, emergency assistance, homeownership, educational assistance (GED, tutoring and career development), transportation to work and interviews for work and time limited child care to support working families and parents in training.

Sincerely,

Sam Watkins, Jr.
Executive Director

"Serving Families...Meeting Needs"

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UNIVERSITY of LOUISVILLE

June 9, 1997

Ms. Donna Kilman
SUN Grant
University of Louisville

VIA FACSIMILE

Dear Donna:

In response to your request this morning, this letter will confirm that the $2500 funds from the SUN Grant were expended to pay for training eight law students in basic mediation skills. The training was conducted by Just Solutions in early June of 1996. At least half of those students trained graduated this past May. To date no mediations have been scheduled, although the SUN Grant was supposed to have provided the cases to the law student mediators. I believe some effort is being made by personnel with the SUN Grant at the current time to coordinate locating cases and providing opportunities for the remaining mediators to actually provide a service in return for receiving the training. I hope this provides the information you need for the annual report.

Sincerely,

Linda S. Speed

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